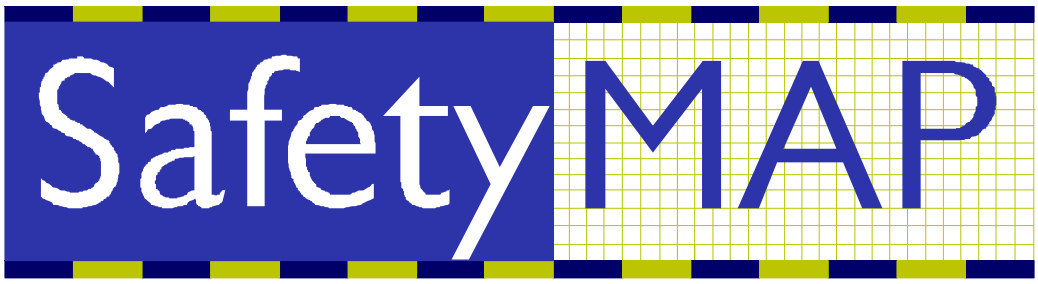


SafetyMAP Advanced Level User Guide

Advanced Level User Guide
4th Edition

Introduction

This User Guide has been produced to support *SafetyMAP: Auditing Health and Safety Management Systems, 4th Edition* and it is assumed that persons using this Guide will be familiar with that publication.

This User Guide is intended to assist persons who are wanting to gain further information about the SafetyMAP audit criteria. This should make it particularly useful to SafetyMAP auditors and those who are intending to be audited against SafetyMAP. The information should also be useful if you are using SafetyMAP as a guide to assist in the development of your health and safety management system.

This Guide provides:

- Information about the SafetyMAP Certification program;
- Explanation of the SafetyMAP criteria; and
- Examples of evidence that may assist in demonstrating conformance to the SafetyMAP criteria.

This Guide is also designed so that it can be used as a workbook.

SafetyMAP Certification

If you are interested having your system certified, SafetyMAP Certification is available at two levels of system performance:

1. **Initial Level;** and
2. **Advanced Level.**

The Table *SafetyMAP Certificate Levels* on page 256 shows the criteria at the two Certificate levels. To gain Certification to SafetyMAP Initial Level requires conformance by an organisation to the 82 Initial Level Criteria. SafetyMAP Advanced Certification requires conformance by an organization to all SafetyMAP 4th edition criteria.

Certification Bodies

If you wish to have your health and safety management system certified to the requirements of SafetyMAP, you will need the services of a company that undertakes this task. Only companies accredited by the 'Joint Accreditation System – Australia and New Zealand' (JAS-ANZ) may conduct SafetyMAP certification audits and award SafetyMAP certificates. JAS-ANZ maintains a list of accredited Certification Bodies. JAS-ANZ can be contacted by telephone on (02) 6232 2000 or visit their website at www.jas-anz.com.au. WorkSafe Victoria can also be contacted for information on (03) 8663 5002.

SafetyMAP Standards

Certification Bodies need to meet certain standards when they undertake SafetyMAP certification audits. To ensure a high standard of professionalism SafetyMAP Standards have been developed by WorkSafe Victoria. The SafetyMAP Standards that must be met by the Certification Bodies can be viewed on the WorkSafe Victoria website at www.workcover.vic.gov.au.

The SafetyMAP Standards are to be applied in the conduct of SafetyMAP certification, renewal and surveillance audits. They are to be read in conjunction with JAS-ANZ Procedure 02 (General Requirements for Bodies Operating Assessment and Certification of Occupational Health and Safety Management Systems). Where there is a conflict between the SafetyMAP Standards and JAS-ANZ Procedure 02, the requirements of the SafetyMAP Standards prevail.

Auditors

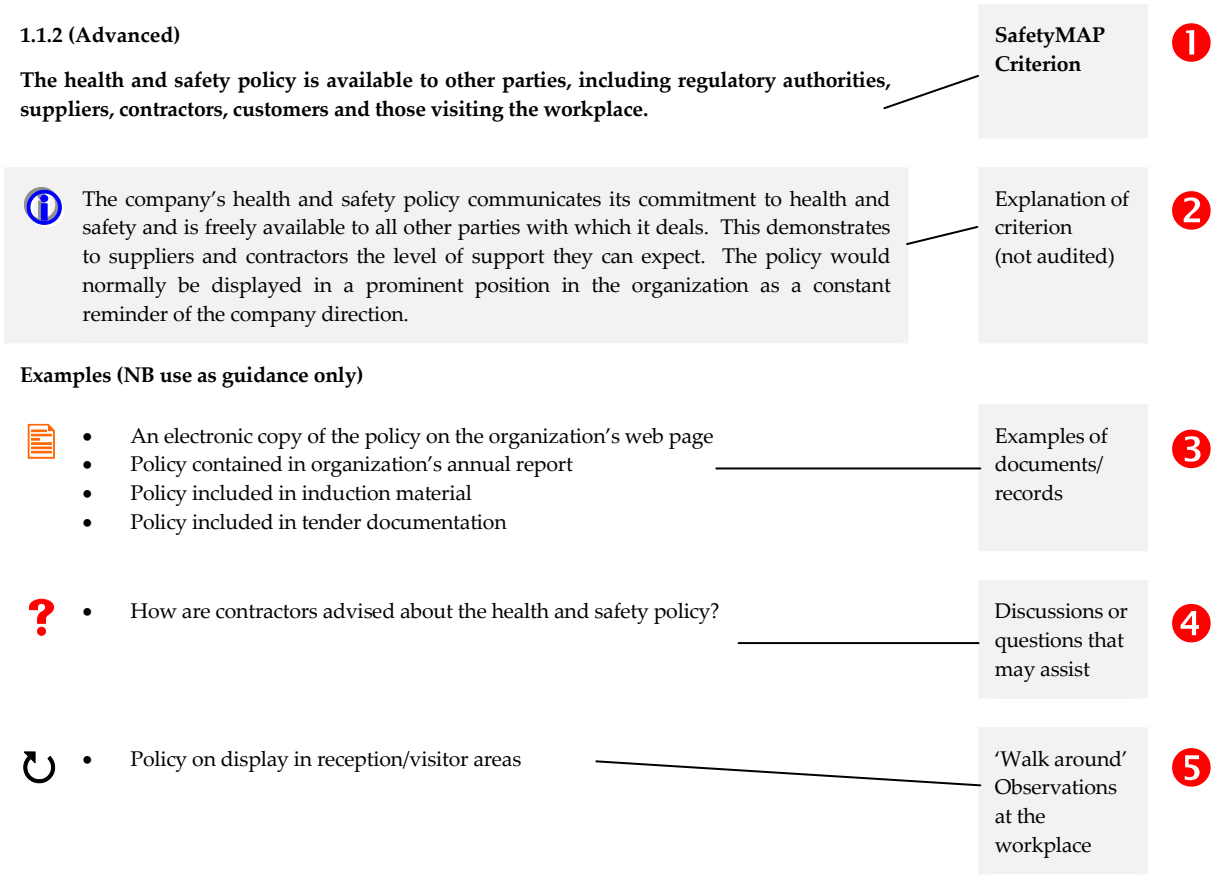
The skills, qualification, experience and competencies of auditors are examined by Certification Bodies before the auditors are allocated to SafetyMAP Certification audits. Both JAS-ANZ and WorkSafe Victoria mandate auditor competency requirements in their procedures and standards. All auditors must qualify for registration with an accredited health and safety auditor certification program.

How to use this Guide

This User Guide is a combination of guidance and workbook and is designed to be printed double sided (or alternatively print only odd or even pages). For each criterion, guidance material is on the even numbered page and the workbook is on the odd numbered page.

ADVANCED LEVEL USER GUIDE

The **guidance** is set out as in the example below.


1.1.2 (Advanced)
The health and safety policy is available to other parties, including regulatory authorities, suppliers, contractors, customers and those visiting the workplace.
SafetyMAP Criterion
1
The company's health and safety policy communicates its commitment to health and safety and is freely available to all other parties with which it deals. This demonstrates to suppliers and contractors the level of support they can expect. The policy would normally be displayed in a prominent position in the organization as a constant reminder of the company direction.
Explanation of criterion (not audited)
2
Examples (NB use as guidance only)
An electronic copy of the policy on the organization's web page
Policy contained in organization's annual report
Policy included in induction material
Policy included in tender documentation
Examples of documents/ records
3
How are contractors advised about the health and safety policy?
Discussions or questions that may assist
4
Policy on display in reception/visitor areas
'Walk around' Observations at the workplace
5

1. The **SafetyMAP Criterion** is the same as in *SafetyMAP: Auditing Health and Safety Management Systems, 4th Edition*. The criterion is the **only auditable component**. The other information and examples (at points 2, 3, 4 & 5) are to provide information and assistance in understanding the criterion but are not auditable in their own right.

2. The **information** in the shaded box provides an explanation of the criterion. This additional information may assist in interpretation of the criterion and provide some rationale for its inclusion in SafetyMAP.

3. The **examples** of **documents and/or record**s give guidance about some of the paperwork that would assist in meeting the requirements of the criterion. It must be noted however, that the examples are not suggested as the only or preferred ways of meeting the criterion, nor should they be interpreted as a list which all organizations must have. An organization may have different ways of meeting the requirements of the criterion and the examples should not detract from this.

4. The **examples** of **questions** are included to help auditors determine whether an organization is meeting the requirements of the criterion. The questions are intended as a supplement only, and do not try to cover all aspects. It is expected that there are many questions that would be asked in addition to the questions listed here.

5. The **examples** of **walkaround** provide guidance about what might be observed in the workplace which would provide confidence that the organization is managing the requirements of the criterion. In a health and safety audit, these observations may be necessary to demonstrate that the management system is providing a particular level of safety. Again, it is noted that these examples are not intended to be a comprehensive list of items that might need to be checked in a particular workplace.

NB: The absence of an example of documentation, questions, or walk around information does not mean that there is no documentation to see, question to ask or observation to be made in the workplace. For example, for criterion 3.9.1 no walk around guidance is offered but due to the wide range of potential issues that could be observed in the workplace, there would be an expectation of significant workplace observation being required by an auditor auditing this criterion.

WORKBOOK

Workbook pages are provided for the recording of evidence. It is important to ensure that the relevant people are interviewed, and that where appropriate, the input of employees is sought.

The workbook pages should record information about the persons spoken with in relation to the criteria, the documents and records seen to assist in verification and the observations and comments that will be pertinent to assisting in the judgment of the standard of systems in relation to the criteria being assessed. By recording this information it should provide sufficient information to enable other persons, including persons that may conduct future audits, to understand the factors impacting on your decision making.

On the basis of the evidence collected, a judgment can then be made about whether the criterion is applicable to the organization and if so a rating is awarded. Usually this will be 'conformance' or 'nonconformance'. There is also a rating of 'not able to be verified'. The definitions for each of these are explained in the SafetyMAP Standards.

Definitions

A range of definitions relevant to SafetyMAP are included in *SafetyMAP: Auditing Health and Safety Management Systems, 4th Edition*. Reference to these definitions should be made as some words can have specific meaning within the context of SafetyMAP.

Element 1: Health and safety policy

1.1.1 (Initial)
There is a documented health and safety policy, authorised by the organization's top management that:

a) requires compliance with relevant health and safety legislation;
b) is appropriate to the nature and scale of the organization's health and safety risks;
c) states overall health and safety objectives; and
d) demonstrates a commitment to the continued improvement of health and safety performance.

A meaningful health and safety program depends on commitment from management. The health and safety policy is the primary document in the health and safety management system. It must clearly set out the intentions of the organization with respect to continuous improvement of health and safety.

Examples (NB use as guidance only)

- An authorized copy of the policy document that clearly states health and safety objectives and an organizational commitment to both legislative compliance and improving health and safety.

- Can top management explain the objectives of the health and safety policy?

1.1.1 (Initial)

There is a documented health and safety policy, authorised by the organization's top management that:

a) requires compliance with relevant health and safety legislation;
b) is appropriate to the nature and scale of the organization's health and safety risks;
c) states overall health and safety objectives; and
d) demonstrates a commitment to the continued improvement of health and safety performance.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

1.

2.

Documents submitted (title, version, date, location)

1.

2.

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Observations and comments

1.1.2 (Advanced)

The health and safety policy is available to other parties, including regulatory authorities, suppliers, contractors, customers and those visiting the workplace.

The company's health and safety policy communicates its commitment to health and safety and is freely available to all other parties with which it deals. This demonstrates to suppliers and contractors the level of support they can expect. The policy would normally be displayed in a prominent position in the organization as a constant reminder of the company direction.

Examples (NB use as guidance only)

- An electronic copy of the policy on the organization's web page.
- Policy contained in the organization's annual report.
- Policy included in induction material.
- Policy included in tender documentation.

- How are contractors advised about the health and safety policy?

- Policy on display in reception/visitor areas.

1.1.2 (Advanced)

The health and safety policy is available to other parties, including regulatory authorities, suppliers, contractors, customers and those visiting the workplace.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

1.

2.

Documents submitted (title, version, date, location)

1.

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4.

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Observations and comments

1.1.3 (Advanced)

The health and safety policy is maintained and reviewed periodically to ensure it remains relevant and appropriate to the organization's health and safety risks.

Changes to the structure or operations of an organization may affect the way health and safety is managed. The health and safety policy must reflect the present management structure and the current allocation of responsibilities. Reviews should consider changes to legislative requirements, industry technology and business focus.

Examples (NB use as guidance only)

- Health and safety and associated policies containing dates of latest and proposed reviews.
- Policy post dates legislative or organizational changes.
- Minutes of management review meetings that record discussion of policy.

- Can management explain when the policy was last reviewed, and what triggered that review?

1.1.3 (Advanced)

The health and safety policy is maintained and reviewed periodically to ensure it remains relevant and appropriate to the organization's health and safety risks.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

1.

2.

Documents submitted (title, version, date, location)

1.

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Observations and comments

Element 2: Planning

2.1 Legal requirements and practical guidance

2.1.1 (Initial)

The organization identifies and monitors the content of all health and safety legislation, standards, codes of practice, agreements and guidelines relevant to its operation.

The organization should keep abreast of all legislation and other requirements applicable to, or affecting its operations. For example, the organization may have agreements with contractors, suppliers, customers and industry/employee associations. The content needs to be understood so that it can be applied within the organization. Health and Safety Acts, Regulations and associated standards are subject to change, so the organization also needs to have processes that ensure the changes are identified and applied. A designated person(s) should be assigned responsibility for keeping up to date with the range, scope and impact of the information. Outdated information needs to be discarded or marked in some way to indicate that it is no longer current.

Examples (NB use as guidance only)

- A documented procedure that specifies how health and safety legislation and other relevant information is identified and maintained.
- Associated responsibilities allocated in job descriptions.
- Participation in a specialised subscription service that monitors legislative changes and issues updates or bulletins.

- Is the organization represented at industry association meetings?
- Do they correspond or regularly connect with legislators and/or contribute to emerging health and safety standards and issues in the industry?

- A library or dedicated collection on site.

2.1.1 (Initial)

The organization identifies and monitors the content of all health and safety legislation, standards, codes of practice, agreements and guidelines relevant to its operation.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

1.

2.

Documents submitted (title, version, date, location)

1.

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Observations and comments

2.1.2 (Initial)

The organization's procedures, work instructions and work practices reflect the requirements of current health and safety legislation, standards, codes of practice, agreements and guidelines.

The organization has an obligation to ensure compliance with current legal requirements and to be aware of other technical or industry standards and codes of practice which may influence the way work is planned and performed.

Examples (NB use as guidance only)

- A procedure for creating and reviewing procedures and work instructions, that checks applicable legislative and other requirements.
- Procedures and work instructions that reference current requirements.

- Can the relevant manager(s) explain how the organization ensures that procedures meet relevant requirements?

2.1.2 (Initial)

The organization's procedures, work instructions and work practices reflect the requirements of current health and safety legislation, standards, codes of practice, agreements and guidelines.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

1.

2.

Documents submitted (title, version, date, location)

1.

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Observations and comments

2.1.3 (Initial)

All personnel in the organization are advised of, and have ready access to, current health and safety legislation, standards, codes of practice, agreements and guidelines.

All individuals should be aware of how to access the relevant information. The organization also needs to actively notify affected persons and workplace parties, so that the necessary activities or actions can be taken to ensure continued compliance or make appropriate changes to procedures.

Examples (NB use as guidance only)

- Distribution lists for particular information, topics or issues.
- Copies of advisory memoranda.
- Minutes of meetings that record discussion of new requirements.

- Can employees nominate the location or contact person for reference information?

- Current information maintained at an accessible location such as at a library, on microfiche, in the health and safety department, electronically, etc.

2.1.3 (Initial)

All personnel in the organization are advised of, and have ready access to, current health and safety legislation, standards, codes of practice, agreements and guidelines.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

1.

2.

Documents submitted (title, version, date, location)

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Observations and comments

2.1.4 (Initial)

The organization and/or individual satisfies legal requirements to undertake specific activities, perform work or operate equipment including any:

a) licence;
b) certificate of competency;
c) notification;
d) registration; and/or
e) approval.

The organization needs to identify and meet current legal requirements for the operations that it undertakes or equipment that is held or operated, e.g:

- Dangerous goods storage, manufacture and transport;
- Registrations of high risk plant such as pressure vessels, cooling towers, cranes and lifts;
- Licences or approvals for certain processes such as asbestos removal, use of carcinogens, radioactive sources and lead;
- Electrical work;
- Operation of particular types of industrial equipment, such as fork lift trucks;
- Rigging operations;
- Licensing and registration of vehicles; and/or
- Relevant driver's licences.

These and others may be applicable depending on the extent of the business and the jurisdiction in which it operates.

Examples (NB use as guidance only)

- A list of the applicable site licensing or registration requirements with matching records.
- A register or record of licence holders.
- A list of plant requiring registration and copies of current registrations.
- Copies of licences.
- Correspondence from legislative authorities.

- Can the relevant manager(s) explain how licences, etc. are kept current?
- Can relevant employees nominate the legal requirements for specific work or equipment?

- Licences/certificates carried by users of mobile plant.
- Registration certificates displayed on plant.

2.1.4 (Initial)

The organization and/or individual satisfies legal requirements to undertake specific activities, perform work or operate equipment including any:

a) licence;
b) certificate of competency;
c) notification;
d) registration; and/or
e) approval.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

1.

2.

Documents submitted (title, version, date, location)

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Observations and comments

2.1.5 (Initial)

Changes to health and safety legislation, standards, codes of practice, agreements and guidelines generate a review of existing procedures.

The organization should conduct a systematic check of legislative changes and updated standards or codes to identify whether any alterations are needed to the current methods of work.

Examples (NB use as guidance only)

- An information management procedure which requires reviews of procedures and work instructions in response to new information.
- Copies of procedures and work instructions which reference current legislation, standards and codes.
- Minutes of meetings where the organization's current work practices are reviewed against the latest industry or legislative requirements.

- How can you demonstrate that you do this?
- Can you give some examples?

2.1.5 (Initial)

Changes to health and safety legislation, standards, codes of practice, agreements and guidelines generate a review of existing system procedures.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

1.

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Documents submitted (title, version, date, location)

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Observations and comments

2.2 Objectives and targets

2.2.1 (Initial)

Health and safety objectives and targets consistent with the organization's health and safety policy are documented, are appropriate to the organization's activities and consider:

a) legal requirements;
b) standards and codes;
c) health and safety hazards and risks;
d) available technology;
e) agreements and guidelines;
f) operational requirements; and
g) the views of interested parties.

Any objectives need to consider all the issues that can impact on the setting of health and safety objectives and the achievement of targets. A risk assessment approach can be used to prioritize action. The involvement of employees in the setting of goals and objectives is encouraged. The objectives and targets must also be tailored to the organization's risk exposure and give consideration to employees, the working environment and locations, technology and any current information about the risks.

Examples (NB use as guidance only)

- Minutes of meetings which record discussion about the selection of suitable health and safety objectives and targets.
- Health and safety objectives and targets reference the standard to be met, e.g. legal requirement, technical requirement.

- Who was involved in the setting of the objectives and targets?

2.2.1 (Initial)

Health and safety objectives and targets consistent with the organization's health and safety policy are documented, are appropriate to the organization's activities and consider:

a) legal requirements;
b) standards and codes;
c) health and safety hazards and risks;
d) available technology;
e) agreements and guidelines;
f) operational requirements; and
g) the views of interested parties.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

1.

2.

Documents submitted (title, version, date, location)

1.

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Observations and comments

2.2.2 (Advanced)

Specific health and safety objectives and measurable targets have been established for all relevant functions and levels within the organization.

The organization should determine its objectives and develop measurable targets which meet these objectives. Commitment to achieving these outcomes would be expected to be incorporated in the company's health and safety policy. The targets must be achievable, measurable and integral to the organization's everyday work. Targets need to be set across all functions of the organization (including operations, administration, sales, etc.) so that safety is viewed as a part of routine activities.

Examples (NB use as guidance only)

- Minutes of meetings which record discussion of health and safety objectives and targets.
- Statement outlining the organization's objectives and targets.
- Health and safety plan which lists targets to be met by particular departments for given time frame, e.g. quarter.
- Performance plans which detail targets for health and safety and how they will be measured.

- How are objectives and targets measured?
- Do you record the measurement?
- Which functions have been determined as relevant for the development of objectives and targets?

- Noticeboards displaying objectives and targets and information on progress to meet the objectives and targets.

2.2.2 (Advanced)

Specific health and safety objectives and measurable targets have been established for all relevant functions and levels within the organization.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

1.

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Documents submitted (title, version, date, location)

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Observations and comments

2.2.3 (Advanced)

The organization sets health and safety performance indicators that:

a) are consistent with its objectives and targets;

b) include actions taken to prevent injury and illness; and

c) meet legislative obligations.

Measurement of health and safety performance should extend beyond statistics relating to injury numbers or injury rates, i.e. 'negative indicators'. Whilst these are vital, they provide information after the event. 'Positive' or lead indicators are measures of actions taken to prevent injury and disease such as number of inspections conducted, training provided, risk assessments conducted, etc. which demonstrate progress on preventive actions.

Examples (NB use as guidance only)

- Suitable performance indicators are included in performance appraisals.
- Both positive and negative indicators are used when measuring progress against the health and safety program.

- What performance indicators have been set?

2.2.3 (Advanced)

The organization sets health and safety performance indicators that:

a) are consistent with its objectives and targets,

b) include actions taken to prevent injury and illness, and

c) meet legislative obligations.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

1.

2.

Documents submitted (title, version, date, location)

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Observations and comments

2.3 Health and safety management plans

2.3.1 (Initial)

There is a health and safety management plan that defines the means by which the organization will achieve its objectives and targets and meet its legal requirements. The plan:

a) applies to all activities undertaken or proposed to be undertaken by the organization;
b) is based on an analysis of information relevant to the nature of the organization's activities, processes, products or services;
c) aims to eliminate or reduce workplace illness and injury;
d) defines the organization's priorities;
e) sets timeframes;
f) allocates responsibility for achieving objectives and targets to relevant functional levels; and
g) states how the plan will be monitored.

In order to achieve systematic, and sustainable improvements in health and safety, the organization needs to plan and organize the activities. Sometimes the complexity of an operation or organizational change requires specific detailed plans to be developed to augment the general health and safety plan. All relevant available information should be evaluated prior to the development or review of health and safety plans. Information gained through hazard identification and risk assessment will provide a firm foundation for a strategic plan. Accident and incident records will highlight problems which need to be addressed in such plans. For example, if records indicate that manual handling type injuries are the most likely to occur, then improvements may be indicated in the way manual handling is addressed at the workplace. Other information, such as the results of employee surveys or the planned introduction of new technology, may need to be considered in health and safety plans. Information from external sources also provides vital input. Such information may range from the specific requirements of health and safety legislation, standards and codes, to industry knowledge and experience with the processes or products involved. Some tasks within the plan will be more important than others, some tasks will be easier to achieve and some will require additional personnel or other resources. The plan needs to identify all these factors, including the persons who are allocated prime responsibility for ensuring that each task is completed, and what measurements will be acceptable as an indication that the task is complete.

Examples (NB use as guidance only)

- Hazard, incident or other health and safety data/records which match the issues covered in the health and safety plan.
- A documented health and safety plan which references particular legislation, Australian or industry standards or codes.
- Minutes of meetings which record the sources of information used in the development or review of the health and safety plan.
- A documented health and safety plan which includes objectives and the means by which those objectives will be achieved through the allocation of resources, completion dates, and responsibilities.
- A series of documented plans or projects developed to address a particular activity.

- Are staff aware of the health and safety plan and their part in it?

- Health and safety plan displayed in the workplace.

2.3.1 (Initial)

There is a health and safety management plan that defines the means by which the organization will achieve its objectives and targets and meet its legal requirements. The plan:

a) applies to all activities undertaken or proposed to be undertaken by the organization;
b) is based on an analysis of information relevant to the nature of the organization's activities, processes, products or services;
c) aims to eliminate or reduce workplace illness and injury;
d) defines the organization's priorities;
e) sets timeframes;
f) allocates responsibility for achieving objectives and targets to relevant functional levels; and
g) states how the plan will be monitored.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

1.

2.

Documents submitted (title, version, date, location)

1.

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Observations and comments

2.3.2 (Initial)

The organization documents its methodology to reduce health and safety risks through hazard identification, risk assessment and development of risk control measures in accordance with the 'hierarchy of controls' and legal requirements.

Uncontrolled hazards have the potential to cause injury or illness to employees and members of the public. The uncontrolled hazards must be identified before action can be taken to reduce the associated health and safety risks. Risk assessment means establishing whether there is a risk associated with the identified hazards. Having identified the hazards and assessed the risks, the organization needs to establish effective control measures. Any process for controlling hazards should demonstrate consideration of the hierarchy of control.

The organization needs to establish what risk assessment models may be useful in qualifying and quantifying their risk exposures. Legislative requirements also need to be incorporated into the methodology, e.g. some jurisdictions mandate factors to be considered in risk assessment processes and prohibit certain control options. The organization should integrate this formal, systematic process into their daily operations, such as tendering to supply services.

Examples (NB use as guidance only)

- Documented procedures for reduction of risk across the organization and its operations using the process of hazard identification, risk assessment and risk control, e.g. to review plant, equipment and standard work procedures.
- Documented procedures for hazard identification, risk assessment and risk control across the various business activities in the organization.
- A documented procedure which requires the use of the hierarchy of controls in the determination of control measures.

2.3.2 (Initial)

The organization documents its methodology to reduce health and safety risks through hazard identification, risk assessment and development of risk control measures in accordance with the 'hierarchy of controls' and legal requirements.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

1.

2.

Documents submitted (title, version, date, location)

1.

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Observations and comments

2.3.3 (Initial)

The organization monitors its progress towards meeting the objectives and targets set in the health and safety plan and takes corrective actions to ensure progress is maintained.

Monitoring of the progress of the health and safety plan provides an opportunity to:

- Confirm that realistic targets have been set;
- Revise priorities; and
- Reallocate resources to areas that need help.

Examples (NB use as guidance only)

- Minutes of meetings that record discussion about progress towards health and safety targets.
- Reports from individual departments about progress towards the set objectives.

- How does the organization monitor progress?

2.3.3 (Initial)

The organization monitors its progress towards meeting the objectives and targets set in the health and safety plan and takes corrective actions to ensure progress is maintained.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

1.

2.

Documents submitted (title, version, date, location)

1.

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Observations and comments

2.3.4 (Advanced)

Health and safety plans are reviewed on a regular basis, to ensure they are kept up-to-date, and when there are changes to the organization's activities, processes, products or services.

Changes are inevitable, whether generated by new technology, internal restructures or imposed through different or difficult operating conditions. The organization needs to make sure that the planning process anticipates, considers and incorporates changes where necessary so that objectives can still be met.

Examples (NB use as guidance only)

- Dates of reviews found on minutes, memos or other documents.
- Reports of findings of reviews.

- What circumstances generate a review of the health and safety plan?

2.3.4 (Advanced)

Health and safety plans are reviewed on a regular basis, to ensure they are kept up-to-date, and when there are changes to the organization's activities, processes, products or services.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

1.

2.

Documents submitted (title, version, date, location)

1.

2.

3.

4.

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7.

Observations and comments

Element 3: Implementation

3.1 Structure and responsibility - Resources

3.1.1 (Initial)

Financial and physical resources have been identified and allocated to enable the effective implementation of the organization's health and safety plan(s).

To achieve the objectives of the health and safety plan, it needs to be adequately resourced. Financial resources should be directed towards the reduction of the organization's health and safety risks. Physical resources can include the reference library, monitoring equipment, suitable facilities for health and safety training, etc.

Examples (NB use as guidance only)

- Documented health and safety plans that specify required resources.
- Physical evidence of the allocation of resources, e.g. new equipment, modifications to plant and training facilities.
- Budget information that demonstrates allocation of resources.

- Are financial resources directed towards higher order controls which will reduce risk, e.g. engineering?

3.1.1 (Initial)

Financial and physical resources have been identified and allocated to enable the effective implementation of the organization's health and safety plan(s).

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.1.2 (Initial)

There are sufficient qualified and competent people to implement the organization's health and safety plan(s).

Successful health and safety management requires access to specialist advice and guidance. Advice and guidance can be obtained from a variety of sources such as health and safety consultants, occupational physicians, ergonomists, engineers, chemists and hygienists. Employing specialised staff within the organization should also provide advantages, such as having an understanding of the operations and personnel, and being able to keep and use the knowledge gained from working with health and safety issues at the workplace.

Examples (NB use as guidance only)

- Documentation showing staff qualifications in health and safety or related fields.
- Reports of health and safety advice received from external providers, e.g. noise and plant assessments.
- Contracts with health and safety professionals to provide specific services, e.g. health surveillance and medicals.

- How did the organization determine that they have access to sufficient qualified and competent people?
- What are the qualifications and competencies of the people?

3.1.2 (Initial)

There are sufficient qualified and competent people to implement the organization's health and safety plan(s).

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.1.3 (Initial)

Those who represent employees on health and safety matters are provided with time and resources to effectively undertake this role.

Employees provide valuable input to the health and safety program. Management needs to demonstrate their support of employee representatives by providing them with opportunities to confer with their employee groups and attend training, and provide access to information and other facilities such as telephone, photocopier, filing cabinet, etc. as needed.

Examples (NB use as guidance only)

- Evidence of employee representative's participation in:
  - Risk assessments;
  - Health and safety training;
  - Workplace inspection;
  - Committee meetings; and
  - Accident/incident investigations, etc.

- Do employee representatives confirm that adequate support is provided?
- Do employee representatives confirm that they have the time to adequately handle individual employee heath and safety concerns raised with them?

- Suitable facilities available for use by employee representatives.

3.1.3 (Initial)

Those who represent employees on health and safety matters are provided with time and resources to effectively undertake this role

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.2 Structure and responsibility -Responsibility and accountability

3.2.1 (Initial)
Top management can demonstrate an understanding of the organization's legal obligations for health and safety.

It is essential that top management are aware of their legal obligations for health and safety in relevant jurisdictions and have an understanding of how to go about meeting those obligations.

Examples (NB use as guidance only)

- Letters and memoranda from top managers concerning legal requirements.
- Records of attendance and course details for relevant health and safety training attended by top management.
- Documentation provided to top management explaining the legal obligations they have.

- Can top management explain their organization's health and safety legislative obligations?

3.2.1 (Initial)

Top management can demonstrate an understanding of the organization's legal obligations for health and safety.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.2.2 (Advanced)

A member of the executive or board has been allocated overall responsibility for the health and safety management system and reports to that group on its performance.

Senior management should demonstrate an understanding of the current health and safety performance of the organization. This is most likely to occur if a member of the executive or board has overall responsibility for the systems that manage health and safety.

Examples (NB use as guidance only)

- Document that confirms allocation of health and safety management system responsibility to senior executive or board member.
- Organization chart that shows a senior executive or board member has responsibility for the health and safety function.
- Minutes of management review meetings chaired or attended by the person responsible for the health and safety management system [see criterion 5.1.1].
- Minutes of board meetings that record the tabling of relevant information or reports.

- Is there a senior executive or board member with health and safety responsibilities?
- When was the last time that the appointed person reported on health and safety management system performance to the senior executive group and/or board of directors?

3.2.2 (Advanced)

A member of the executive or board has been allocated overall responsibility for the health and safety management system and reports to that group on its performance.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.2.3 (Initial)

The specific health and safety responsibilities [including legislative obligations], authority to act and reporting relationships of all levels in the organization have been defined, documented and communicated.

The organization needs to implement arrangements to meet its general and specific health and safety legislative responsibilities, e.g. nomination of management health and safety representatives, registration and maintenance of plant, training, supervision, health monitoring and reporting, record keeping, notification of incidents or participation in consultative arrangements. People also need to understand their role within the health and safety management system. This requires the organization to provide detail to their personnel about actions required to meet the allocated responsibilities.

Examples (NB use as guidance only)

Detailed or specific responsibilities and reporting relationships defined and allocated in:

- The health and safety policy;
- Health and safety agreement;
- Health and safety manual or work instructions;
- Contract/tender documents;
- Position descriptions; and
- Organization structure or chart.

- Can people demonstrate knowledge of their health and safety responsibilities?
- Do people know the health and safety responsibilities that have been assigned to other people?

3.2.3 (Initial)

The specific health and safety responsibilities [including legislative obligations], authority to act and reporting relationships of all levels in the organization have been defined, documented and communicated.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.2.4 (Initial)

Where contractors are utilized in the organization, the health and safety responsibilities and accountabilities of the organization and the contractor(s) have been clearly defined, allocated and communicated within the organization and to the contractor(s) and their employees.

Many organizations use contractors to provide services. Although the employment conditions of contractors may vary considerably from those of other employees, the organization still owes a duty of care to contractors and their employees. The contractors also have obligations. To avoid confusion and prevent erroneous assumptions, the responsibilities and accountabilities for occupational health and safety should be sorted out between the parties. For instance, the contractor and the organization should define which party will take responsibility for control of the working area, systems of work, plant and equipment, hazardous substances use, storage and disposal, induction training, supervision, resolution of issues, first aid facilities, etc. Having done that, the organization should make sure that all relevant parties are informed of the health and safety arrangements.

Examples (NB use as guidance only)

- Position description for 'contract manager' which describes responsibilities for sorting out the various health and safety responsibilities and communicating that information.
- Signed contracts which define the persons responsible for each of the health and safety actions and activities to be undertaken and facilities to be provided.
- Information on responsibilities provided to employees and contractors.
- Induction program for contractors covering responsibilities and accountabilities.

- Can employees explain their responsibilities to contractors?
- Can contractors and/or contractor employees explain their health and safety responsibilities to the organization's employees?

3.2.4 (Initial)

Where contractors are utilized in the organization, the health and safety responsibilities and accountabilities of the organization and the contractor(s) have been clearly defined, allocated and communicated within the organization and to the contractor(s) and their employees.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.2.5 (Advanced)
Personnel are held accountable for health and safety performance in accordance with their defined responsibilities.

There needs to be some measurement of whether managers, supervisors, employees and others in the workplace are meeting their allocated health and safety responsibilities. A formal review of performance should include measurements of health and safety achievements against the assigned responsibilities.

Examples (NB use as guidance only)

- Documented individual health and safety performance appraisals or reviews for personnel with health and safety responsibilities.
- Group performance schemes which evaluate health and safety performance.
- Notes or records of interviews where health and safety performance has been discussed.
- Contractor review procedures incorporate health and safety performance review.

- Has there been any assessment of health and safety performance of individuals in line with their allocated responsibilities?
- Can personnel explain how they are held accountable for their allocated health and safety responsibilities?

3.2.5 (Advanced)

Personnel are held accountable for health and safety performance in accordance with their defined responsibilities.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.3 Structure and responsibility –Training and competency

3.3.1 (Advanced)

The specific requirements of tasks, including medical constraints, are identified and applied to the recruitment and placement of personnel.

The safe performance of some tasks may require the employee to have particular skills and competencies. For example, a plant operator's certificate of competency or demonstrated knowledge or qualification in a particular subject. There are also some tasks where there can be medical requirements relevant to the safe and satisfactory performance of the task. For example, one would not assign a person who was colour blind to a task where colour perception was essential to safety.

Examples (NB use as guidance only)

- Job task analysis or similar process undertaken which identifies the specific requirements, including medical constraints, of tasks undertaken in the organization.
- Job descriptions or similar which identify the specific requirements relevant to health and safety of tasks to be performed.
- Records of the staff selection process that demonstrate the selection of candidates/job applicants who meet relevant health and safety requirements.

- What tasks have been identified as having specific requirements impacting on health and safety?

3.3.1 (Advanced)

The specific requirements of tasks, including medical constraints, are identified and applied to the recruitment and placement of personnel.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.3.2 (Initial)

The organization has established and implemented procedures for the identification of health and safety training needs for all personnel (including any prescribed by legislation).

An organization needs to determine the competencies or qualifications, training and experience required by their employees and others for the safe performance of the various tasks at the workplace. This includes 'volunteers' where these people work on a regular basis with the organization. Even contractors who are engaged to perform specialised work may require additional in-house training to participate in certain tasks, e.g. maintenance. It follows that there must be a process for matching individuals against the competencies, and providing extra training where needed.

Examples (NB use as guidance only)

- Job descriptions detailing skills/competencies required.
- Training needs analysis.
- Task skills matrix showing individual competencies and further training needs.
- Personal development plans for individuals.

- Do personnel have the competencies identified as required?

3.3.2 (Initial)

The organization has established and implemented procedures for the identification of health and safety training needs (including any prescribed by legislation) for all personnel.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.3.3 (Initial)

The organization has an induction program for all personnel including management, which is based on their likely risk exposure, and provides relevant instruction in the organization's health and safety policy and procedures.

All new and transferred personnel, regardless of level, need induction in health and safety policy and procedures, emergency procedures, accident reporting, hazard reporting, consultative arrangements, etc. The extent of training should be determined by the level of risk associated with the undertaking. An assessment is also needed to determine the briefing requirements for visitors and contractors. This ensures that they are informed of the health and safety requirements at the work-site. The induction requirements will vary according to the site visited and the activities undertaken by the visitors and contractors, e.g. a supermarket would be expected to have very different procedures to an oil refinery.

Examples (NB use as guidance only)

- Documentation that outlines the content of the induction training.
- Induction records for all employees, including managers.
- Contractor induction program.
- Records of visitor briefings and contractor inductions.

- Have top management, e.g. Chief Executive Officer, been inducted into the organization?
- Can employees (including casuals and volunteers) confirm their attendance at induction training?

- 'Briefing' procedure(s) for visitors which, depending on requirements, vary from full site induction to 'sign-in books' and visitor pamphlets or cards.

3.3.3 (Initial)

The organization has an induction program for all personnel including management, which is based on their likely risk exposure, and provides relevant instruction in the organization's health and safety policy and procedures.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.3.4 (Advanced)

The organization consults with employees to identify their training needs in relation to performing their work activities safely.

Working with employees to clarify training needs will not only identify training gaps but provide information about opportunities for further improvement or enhancement of job performance.

Examples (NB use as guidance only)

- Performance appraisals where training needs are discussed and recorded.

- Can employees confirm that their supervisors talk with them about extra training requirements?

3.3.4 (Advanced)

The organization consults with employees to identify their training needs in relation to performing their work activities safely.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.3.5 (Initial)

The organization trains employees to perform their work safely, and verifies their understanding of that training.

The organization needs to ensure that employees undertaking tasks have the competency to do them safely. This applies to new employees and to those transferring from another site or department. Training must be understood, and applied to actually benefit the organization and the individual. The training must ensure that those with language, literacy or learning difficulties are able to understand the information. The organization needs to develop methods by which it can measure the employee's understanding of the learning outcomes and also the ability to apply that new understanding in the workplace. Records of all training should be maintained, including on the job or 'buddy' training.

Examples (NB use as guidance only)

- Documentation concerning the content of the training and how it is delivered.
- Training program materials that demonstrate attention to differing levels of ability and literacy.
- Training evaluations which match the documented requirements, e.g. completed tests and supervisor evaluations.
- Job specific health and safety training records for all employees.

- How does the organization confirm that employees understand the written and spoken components of their training?

3.3.5 (Initial)

The organization trains employees to perform their work safely, and verifies their understanding of that training.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.3.6 (Initial)
Training is delivered by persons with appropriate knowledge, skills and experience.

To deliver effective training, trainers need the skills and knowledge of the task combined with an ability to impart that knowledge and information. The mix of these may differ depending on the type of training and the types of skills and knowledge to be imparted.

Examples (NB use as guidance only)

- 'Train the trainer' records or equivalent.
- Documented skills, knowledge and experience of the trainer.

- How do you determine what the appropriate knowledge, skills and experience of the trainer needs to be?
- How do you check the skills and competencies of those providing training?
- How do you check that the trainer is appropriate to the task?

3.3.6 (Initial)
Training is delivered by persons with appropriate knowledge, skills and experience.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.3.7 (Advanced)
Tasks are allocated according to the capability and level of training of personnel.

An organization should only allocate tasks to employees who are capable of undertaking the tasks safely. The skill and training of the employee must be matched to the requirements of the task.

Examples (NB use as guidance only)

- A task analysis that identifies the competencies, including the specific health and safety competencies of the task.
- A recruitment procedure that ensures persons chosen to undertake tasks have the necessary competencies.
- Records that identify the training undertaken by personnel to enable them to undertake their job safely.
- A 'return to work' process that matches employees to tasks that they can perform safely whilst recuperating from injury, illness or other trauma.

- Can the organization explain on what basis people are allocated to particular tasks?

3.3.7 (Advanced)
Tasks are allocated according to the capability and level of training of personnel.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.3.8 (Advanced)

There is a documented competency based training program that provides employees (and volunteers) with the skills to perform their work activities safely.

Competency based training focuses on training individuals to perform actual jobs in the workplace.

The training program should:

- identify what people need to do in their jobs;
- identify what people need to know to do their jobs;
- identify the standard of performance required in the job; and
- identify how, when, where and by whom assessment will occur.

The training should include all aspects of work performance and not just narrow task skills. Employees should be able to transfer and apply skills, knowledge and attitudes to new situations and environments as a result of training.

Examples (NB use as guidance only)

- Competencies for specific tasks determined and documented.
- Results of assessment of employees for specific tasks.
- Competency requirements for visitors.
- Competencies noted for trainers and examiners.
- Competency based training packages.

- How were training needs determined?
- How are employees and volunteers assessed?

3.3.8 (Advanced)

There is a documented competency based training program that provides employees (and volunteers) with the skills to perform their work activities safely.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.3.9 (Initial)

Management has received training in health and safety management principles and practices appropriate to their role and responsibilities within the organization, and the relevant health and safety legislation.

Managers and supervisors should know their legal health and safety obligations. They also need to participate in such things as development of health and safety management plans, the risk management process, check that hazard control measures function correctly, etc. and have sufficient knowledge to ensure that employees under their direction perform the work safely.

Examples (NB use as guidance only)

- Training program outline which covers relevant content.
- Training attendance records for managers and supervisors in accordance with identified needs.

- Have you received health and safety training, when was this and what was covered by that training?
- Can managers confirm they have received health and safety training?
- Can managers explain what was included in their health and safety training?

3.3.9 (Initial)

Management has received training in health and safety management principles and practices appropriate to their role and responsibilities within the organization, and the relevant health and safety legislation.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.3.10 (Initial)

Those representing the employer and the employees on health and safety matters, including representatives on consultative committee(s), receive appropriate training to enable them to undertake their duties effectively.

To be effective, employer and employee representatives need training that covers health and safety management principles, health and safety legislation, and the consultation process. Some jurisdictions mandate the level of training required.

Examples (NB use as guidance only)

- Suitable training course outline(s).
- Records of attendance for both employer and employee representatives.

- Can employee and management representatives confirm that they have attended the relevant training?

3.3.10 (Initial)

Those representing the employer and the employees on health and safety matters, including representatives on consultative committee(s), receive training to enable them to undertake their duties effectively.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.3.11 (Advanced)

Refresher training (as required) is provided to all personnel to enable them to perform their tasks safely.

Over time there is a tendency for people to forget aspects of tasks, especially when tasks are not performed regularly. An assessment should be made to determine when refresher training for particular competencies and tasks is needed, and at what intervals.

Examples (NB use as guidance only)

- Training plan which contains time frames for refresher training as appropriate.
- Training records that show refresher training has been conducted in line with the assessment/training plan.
- Identification of processes/plant requiring refresher training.

- Can employees confirm that adequate refresher training is provided?

3.3.11 (Advanced)

Refresher training (as required) is provided to all personnel to enable them to perform their tasks safely.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.3.12 (Advanced)

The training program is reviewed on a regular basis, and when there are changes to plant or processes in the workplace, to ensure that the skills and competencies of personnel remain relevant.

Training courses need to be regularly reviewed to determine whether they are still up to date and are achieving the desired outcomes. Courses should also be reviewed when equipment or work practices are changed.

Examples (NB use as guidance only)

- Records of training reviews.
- Examples of changes in training following changes in plant or processes.

- When was the last time that the training program was reviewed?
- Can employees confirm that when there are changes to plant or processes that they have received appropriate training?

3.3.12 (Advanced)

The training program is reviewed on a regular basis, and when there are changes to plant or processes in the workplace, to ensure that the skills and competencies of personnel remain relevant.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.4 Consultation, communication and reporting - Consultation

3.4.1 (Initial)

There are documented procedures, agreed to by employees, for employee involvement and consultation on health and safety matters, including a procedure for dealing with health and safety issues, and resolving disputes if they arise.

To ensure consistency and gain employee commitment, arrangements for employee health and safety representatives and consultative committees should be documented and communicated to employees. This enables employees to participate in the process of improving health and safety within the organization. The documented procedures should also define what constitutes a health and safety issue, how issues are to be reported, to whom, and the methods for resolving such issues. An issue resolution procedure reduces the possibility of a health and safety issue escalating into an industrial dispute. The procedure should set out the involvement of the various parties in the workplace such as employees, employee health and safety representatives, supervisors, managers and also the involvement of any external body when an issue cannot be resolved within the work place.

Examples (NB use as guidance only)

- Documented consultation procedure.
- Terms of reference for a health and safety committee.
- A documented and agreed health and safety issue resolution procedure which is relevant for all parties in the workplace, identifies the various types of health and safety issues that may arise in a workplace and the way of handling those health and safety issues.

- Have employee representatives agreed to the formal consultation arrangements?

- Procedures or flowchart displayed in the workplace.

3.4.1 (Initial)

There are documented procedures, agreed to by employees, for employee involvement and consultation on health and safety matters, including a procedure for dealing with health and safety issues, and resolving disputes if they arise.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.4.2 (Initial)

The organization, in consultation with employees, has determined the number of employee representatives required to effectively represent all employee work groups.

Effective consultation is achieved when all employees have an opportunity to hear about and raise health and safety issues and concerns. This will be simple in a small workplace, but more complex in an organization where there are a range of employee skill levels, multiple sites, differing operations and hazards. The number of employee representatives will depend on factors such as:

- The overall number of employees;
- Overtime and shift arrangements;
- The number and grouping of employees who perform similar types of work;
- The separation of work areas;
- The variety of work; and
- The nature of the hazards at the workplace.

Examples (NB use as guidance only)

- Minutes of meetings that record discussion of representation arrangements.
- Agreed list of work groups or areas having employee representatives.

- Are employees satisfied with the number and representation of employee representatives for health and safety?
- How was the number of employee representatives determined?

3.4.2 (Initial)

The organization, in consultation with employees, has determined the number of employee representatives required to effectively represent all employee work groups.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.4.3 (Initial)

The consultative arrangements allow the employees to select those who will represent them on health and safety matters.

For consultation to be effective, employees need to have confidence in those who will represent them. Therefore employees need to be involved in the selection process.

Examples (NB use as guidance only)

- Documented consultative arrangements that provide for employees to elect a representative.
- Meetings which record elections of employee representatives.
- A list of employee representatives.

- Did employees select their current health and safety representative?

- Election information posted on noticeboards.

3.4.3 (Initial)

The consultative arrangements allow the employees to select those who will represent them on health and safety matters.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.4.4 (Initial)

Details of the consultative arrangements, including the names of their employee and employer representatives for health and safety matters, are communicated to employees.

Communication must ensure all employees are aware of those persons who can help them to resolve health and safety issues and how the process works. Arrangements for employee health and safety representatives and consultative committees should be documented and widely known.

Examples (NB use as guidance only)

- Information about consultation and issue resolution arrangements are included in induction or other training
- Names of employee and employer representatives communicated, e.g. electronically or included in team briefings.

- Can employees name their representatives?

- Names/pictures of employee and employer representatives posted on noticeboards.
- Information about consultation posted on noticeboards

3.4.4 (Initial)

Details of the consultative arrangements, including the names of their employee and employer representatives for health and safety matters, are communicated to employees.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.4.5 (Initial)

Employees or their representatives are involved in the development, implementation and review of procedures for the identification of hazards and the assessment and controls of risks.

When work procedures are developed or reviewed, employees working in the relevant areas should be consulted and involved in the process. In this way valuable information on hazard identification and control can be gained. The procedures developed from this process are more likely to be accepted by employees due to their involvement.

Examples (NB use as guidance only)

- Terms of reference for a health and safety committee.
- Minutes of meetings that record discussion relating to the formulation of relevant policies and procedures.
- Examples of working papers that show the employee involvement in development of a relevant policy or procedure.

- Can employees or their representatives recall being involved in the development or review of policies and procedures?

3.4.5 (Initial)

Employees or their representatives are involved in the development, implementation and review of procedures for the identification of hazards and the assessment and controls of risks.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.4.6 (Initial)

Employees or their representatives are consulted regarding proposed changes to the work environment, processes or practices and purchasing decisions that could affect their health and safety.

Employees often have a wealth of practical experience that can be valuable in ensuring that workplace changes are implemented effectively. It is appropriate to consult with the relevant employees when changes are proposed, so that potential health and safety issues can be identified and resolved.

Examples (NB use as guidance only)

- Project documentation that mandates consultation with employees as part of the process.
- Minutes of team briefings/meetings recording discussion on proposed workplace changes.
- Minutes of health and safety committee meetings recording discussion on proposed workplace changes.

- Can employees/representatives confirm that they receive information about proposed changes and have an opportunity to contribute or comment prior to the changes being put into place?

3.4.6 (Initial)

Employees or their representatives are consulted regarding proposed changes to the work environment, processes or practices and purchasing decisions that could affect their health and safety.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.4.7 (Initial)

Health and safety consultative committees meet regularly and minutes of meetings are available to all employees.

An effective health and safety consultative committee meets at regular intervals and keeps a record of what is discussed. In some organisations there may be more than one safety committee in operation. Copies of the minutes should be available to those represented by that committee.

Examples (NB use as guidance only)

- Health and safety committee terms of reference which refer to meeting schedules.
- Committee meeting calendar.
- Minutes of committee meetings which match schedules.
- Employee representatives confirm that meetings are held regularly and according to schedules.
- Minutes distributed electronically or by other means.
- Minutes of consultative meetings demonstrate attendance by employee representatives across all shifts.

- Do employees know where to find copies of current committee minutes?

- Meeting schedules and minutes of previous meetings posted on noticeboards.

3.4.7 (Initial)

Health and safety consultative committees meet regularly and minutes of meetings are available to all employees.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.5 Consultation, communication and reporting - Communication

3.5.1 (Initial)

The organization's health and safety policy and other relevant information on health and safety are communicated to all employees, and consider language and standards of literacy.

An effective method for the systematic distribution of information should be developed. Employees need accurate health and safety information to perform their work safely, and the organization must fulfil its obligations to keep employees informed about health and safety activities and issues. Where there are multiple committees or where organizations have different locations with similar operations, an exchange of health and safety information can be invaluable. Where employees may have difficulty understanding or reading English, the information needs to be translated or directly explained to individuals.

Examples (NB use as guidance only)

- A documented procedure for information distribution.
- Minutes of regular 'tool box' meetings incorporating a health and safety focus.
- An organizational publication which includes regular articles on health and safety.
- A computer network which provides relevant health and safety information to all employees.
- Designated workplace translators.
- Information presented in languages other than English.

- Can employees give the location of, or explain the content of the organization's health and safety policy?
- Do employees receive other relevant health and safety information?

- Health and safety policy displayed on noticeboards.
- Copies of health and safety publications/alerts posted on noticeboards.
- Health and safety information posted in pictorials or in languages other than English.

3.5.1 (Initial)

The organization's health and safety policy and other relevant information on health and safety are communicated to all employees, and consider language and standards of literacy.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.5.2 (Initial)

The organization regularly communicates to employees the progress towards the resolution of heath and safety disputes.

The dispute resolution procedures need to explain how feedback is provided to employees. The requirement to report progress will tend to encourage action by the responsible parties to resolve matters in a timely fashion. Similarly, where matters are complex and difficult to resolve, employees are more likely to understand the reasons for delays. Relying on health and safety committee meeting minutes to communicate information may not always be appropriate. Sometimes, information needs to be conveyed more regularly than the frequency of meetings.

Examples (NB use as guidance only)

- Internal memos, team meetings or health and safety committee minutes which detail progress on health and safety matters raised by employees.

- Can employees explain what progress has been made on relevant outstanding health and safety disputes?

3.5.2 (Initial)

The organization regularly communicates to employees the progress towards the resolution of heath and safety disputes.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.5.3 (Advanced)

There are procedures for the acquisition, provision and exchange of relevant health and safety information with external parties, including customers, suppliers, contractors and relevant public authorities.

To address legal requirements and to maintain good business practice, an organization needs to ensure that there is an ongoing exchange of information with customers, suppliers and other relevant parties. The organization needs to identify the parties involved and set up lines of communication and systems (such as customer forums, contractor meetings, purchasing or distribution arrangements) which ensures the desired exchange of information. Such information may include:

- The latest on product safety, e.g. material safety data sheets, other information on chemicals and product recalls;
- Instructions for the safe installation, commissioning, operation and maintenance of plant; and
- Emergency planning information to be supplied to the relevant authorities.

Examples (NB use as guidance only)

- A listing of key contacts for exchange of information.
- Communication responsibilities included in position descriptions.
- Purchasing arrangements which require the provision of relevant information and confirmation that it is received.
- Information on chemicals, including hazard alerts or Material Safety Data Sheets sought and received from suppliers, or provided to distributors and other customers.
- Minutes of contractor meetings which record health and safety issues under discussion.
- Correspondence or other records of communication between the organization and relevant authorities.

- Does the organization receive health and safety information from external parties?
- Does the organization know which public authorities require them to submit health and safety information, and the scope and frequency of that information?

3.5.3 (Advanced)

There are procedures for the acquisition, provision and exchange of relevant health and safety information with external parties, including customers, suppliers, contractors and relevant public authorities.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.5.4 (Advanced)

There is a documented health and safety complaints procedure that deals with formal and informal complaints received from external parties.

Complaints about health and safety issues can originate from external as well as internal sources. Complainants may include customers, members of the public, regulatory authorities, contractors or suppliers. Complaints can be an early warning to the organization of serious situations, e.g. product batches which don't meet safety requirements, employees, contractors or customers acting in an unsafe manner, unsafe deterioration of buildings and poorly designed or unhygienic facilities. Formal complaints may be received via telephone, letter, fax or e-mail. Informal complaints may be obtained via a third party, through published works, via meetings, etc. There should be a procedure to collect the details of the complaint and take relevant action. This procedure may be incorporated into other procedures which collect client feedback.

Examples (NB use as guidance only)

- Copy of procedure for collecting, recording and dealing with external complaints.
- Examples of correspondence regarding external complaints.

- Have you received any complaints from external parties, including from health and safety inspectors?
- How do you track and deal with complaints from external parties?

3.5.4 (Advanced)

There is a documented health and safety complaints procedure that deals with formal and informal complaints received from external parties.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.6 Consultation, communication and reporting - Reporting

3.6.1 (Initial)
Health and safety hazards and systems failures are reported and recorded.

Employees in the workplace are often the first to become aware of a health and safety hazard either by direct observation or as a result of things going wrong. There needs to be an effective process for capturing that information. Details need to be recorded so that risk assessment and appropriate corrective action will take place. Records will also provide information about trends which may occur. All personnel need to be aware of their role and responsibilities in the reporting and recording process.

Examples (NB use as guidance only)

- A documented procedure for reporting hazards and systems failures.
- A shift log book for recording hazards and failures.
- Copies of hazard and failure records.

- Can employees explain when, how and what type of hazards are reported and recorded?

- Hazard report system available in the workplace.

3.6.1 (Initial)

Health and safety hazards and systems failures are reported and recorded.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.6.2 (Initial)
Workplace injuries, illnesses, incidents and dangerous occurrences are reported and recorded.

Records of injuries, illnesses, incidents and dangerous occurrences can be used to identify trends. This enables action to be taken to prevent recurrence or more serious consequences. Record keeping may also be a legislative requirement.

Examples (NB use as guidance only)

- Injury/incident reporting procedure.
- Completed injury/incident forms.
- Register of injuries.

- How do you report injuries or incidents?

- Report forms available in the workplace.

3.6.2 (Initial)

Workplace injuries, illnesses, incidents and dangerous occurrences are reported and recorded.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.6.3 (Initial)

Where there is a legislative requirement, injuries, illnesses, incidents and dangerous occurrences are notified to the appropriate authorities.

Local legislative requirements may require certain matters to be formally notified to appropriate authorities. These may include specified incidents involving dangerous goods, plant and certain personal injuries and illnesses. The appropriate authorities may include the health and safety regulatory authority and emergency services authorities.

Examples (NB use as guidance only)

- A documented procedure for injury, illness and incident notification, including the need to notify appropriate authorities.
- Appropriate notification forms.
- Completed notification forms.

- Can the organization explain what events need to be notified?

3.6.3 (Initial)

Where there is a legislative requirement, injuries, illnesses, incidents and dangerous occurrences are notified to the appropriate authorities.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.6.4 (Advanced)

Reports on health and safety inspections, including recommendations for corrective action, are produced and forwarded to top management and consultative committee(s) as appropriate.

All workplace inspection programs need a mechanism for fixing the identified problems. Those undertaking the inspections (with specialist input if required) need to provide recommendations on how the adverse condition may be rectified. Top management and members of consultative committees need to monitor the inspection process, and be aware of any specific issues or trends which occur at the workplace.

Examples (NB use as guidance only)

- Inspection reports which record the recommendations for corrective action.
- Distribution listing for inspection reports which includes top management and the consultative committee(s).
- Minutes of consultative meetings which record the inspection reports as an item on the agenda.
- Minutes of top management meetings which record discussion on inspection reports.
- 'Hazard registers' or inspection summaries that are sent to top management and the consultative committee.

- Who forwards the reports and how often?

3.6.4 (Advanced)

Reports on health and safety inspections, including recommendations for corrective action, are produced and forwarded to top management and consultative committee(s) as appropriate.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.6.5 (Advanced)

Regular, timely reports on health and safety performance are produced and distributed within the organization.

All personnel in the organization can benefit from regular information about health and safety performance. It reminds them of the importance attached to the health and safety program, provides positive reinforcement to those who are taking an active part in the process and assists with the timely notification of trends, both positive and negative.

Examples (NB use as guidance only)

- Health and safety performance reports.
- Can employees/representatives confirm that the organization's health and safety performance is regularly discussed or reported?
- Health and safety performance data displayed in the workplace.

3.6.5 (Advanced)

Regular, timely reports on health and safety performance are produced and distributed within the organization.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.6.6 (Advanced)

Reports of audits and reviews of the health and safety system are produced and distributed to management, employees and other interested parties.

Everyone in the organization has a stake in the success or failure of the health and safety management system. Where comprehensive formal system monitoring takes place, it is only reasonable to provide reports of those activities to those who have been actively involved with the program's implementation, e.g. management, health and safety officers, employee health and safety representatives and the health and safety committee. The outcomes also need to be communicated and records kept so that progress can be monitored until the next review is held.

Examples (NB use as guidance only)

- Audit reports.
- Management system review reports.
- Health and safety committee minutes which record discussion of results of audits and reviews.

- Can managers and employee representatives confirm that reports are distributed?

- Reports displayed in the workplace.

3.6.6 (Advanced)

Reports of audits and reviews of the health and safety system are produced and distributed to management, employees and other interested parties.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.6.7 (Advanced)

The organization's annual report or an equivalent document includes information about health and safety performance.

An annual report is a public statement issued by the organization. Health and safety performance indicators may include the highlights of the program, its major achievements, resources allocated, statistical results and plans for the future. By including information about health and safety performance, the organization demonstrates that it ranks the health and safety of its employees with other important outcomes such as profitability, quality, customer satisfaction, industrial relations, etc.

Examples (NB use as guidance only)

- Copy of current annual report or equivalent which includes information on the organization's health and safety performance.

3.6.7 (Advanced)

The organization's annual report or an equivalent document includes information about health and safety performance.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.7 Documentation

3.7.1 (Initial)

The organization's health and safety policy, plans and procedures are documented in a planned and organized manner.

The key health and safety documents must be prepared and maintained so that they can be easily recognized and accessible to the users. It is not always practical to document everything in a single manual. Some information may overlap or be incorporated into other manuals, and some information may be presented in other formats such as:

- Electronic data;
- Chemical manifests;
- Charts, plans; and
- Process information.

If some of the health and safety documents are dependent on particular data or information in other manuals, etc., the links and location of the references should be clear.

Examples (NB use as guidance only)

- Health and safety incorporated into quality, corporate or other similar manuals.
- Health and safety information with links to other manuals.

3.7.1 (Initial)

The organization's health and safety policy, plans and procedures are documented in a planned and organized manner.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.7.2 (Advanced)

Specific instructions associated with particular products, processes, projects or sites have been developed where appropriate.

Sometimes separate health and safety manuals are needed to address complex or detailed processes, products and projects, e.g. hazardous substances management or a particular production line. In other situations the corporate manual may need to be tailored to meet the local requirements of a particular site or facility.

Examples (NB use as guidance only)

- Specific manuals developed where the nature of the operation requires detailed plans, policies, procedures, work instructions, etc.

3.7.2 (Advanced)

Specific instructions associated with particular products, processes, projects or sites have been developed where appropriate.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.8 Document and data control

3.8.1 (Advanced)

The organization has a system for creating, modifying and approving health and safety documents and data, and notifying relevant persons of any changes.

Documentation is prepared to assist and guide employees to put health and safety into practice at the workplace. Policies, procedures and work instructions are typical documents used for this purpose. Some of those documents may also contain references to information such as the organization's operating requirements for:

- Maximum levels of exposure to noise or hazardous substances in particular areas;
- Maximum or minimum temperatures required for chemical storage;
- Pressure levels; and
- Weight limits for racking.

There needs to be a process which ensures that the relevant persons or parties have input into the creation and approval of documents and data, before they become part of the operating system. To ensure their integrity, any modifications to either the documents or the data need to be similarly approved.

The next step is to let all the relevant parties know about the new documents or the changes.

Examples (NB use as guidance only)

- A written document control procedure.
- Procedures which have been signed off by relevant persons.
- Minutes of meetings which record discussion about modified procedures or data.
- Electronic or paper distribution lists which confirm that relevant persons/areas have been notified of, or received modified procedures.

- Can managers/employee representatives confirm that they are informed about changes to documented standards?

3.8.1 (Advanced)

The organization has a system for creating, modifying and approving health and safety documents and data, and notifying relevant persons of any changes.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.8.2 (Initial)

Documents and data critical to health and safety shall be clearly identifiable, duly authorized prior to issue, kept legible and include their issue status.

Because documents and relevant data are subject to change, it is vital that only current versions are known and used. The information must be complete and legible, e.g. pages numbered. A draft procedure or new version should be easy to identify in comparison with the current authorised version.

Examples (NB use as guidance only)

- A document control procedure which defines the type of document covered by the procedure and the required format.
- Documents which are legible, identified, authorised and dated in accordance with the organization's document control procedure.
- Numbered versions of documents.
- Draft documents appropriately identified.

- Can line managers/employees representatives explain how they ensure that they are working with the latest versions?

- Current copies of relevant documents in user areas.

3.8.2 (Initial)

Documents and data critical to health and safety shall be clearly identifiable, duly authorized prior to issue, kept legible and include their issue status.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.8.3 (Initial)

The organization provides personnel with ready access to relevant health and safety documents and data and advises them of its availability.

In the course of doing their work, personnel will need to refer to the content of the organization's health and safety documentation. The placement of that information must suit their needs, whether it is in hard copy or electronic format. Responsibility should be assigned for the provision and maintenance of this documentation to ensure that it is current and complete.

Examples (NB use as guidance only)

- A document control procedure that describes the storage and method of updating health and safety documents.

- Do employees know where the relevant health and safety documents are located?
- Have supervisors/employees been notified about relevant data and documents?

- Current copies of relevant documents in user areas.

3.8.3 (Initial)

The organization provides personnel with ready access to relevant health and safety documents and data and advises them of its availability.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.8.4 (Advanced)

Documents and data are regularly reviewed by competent persons to ensure that the information is current.

Changes to legislation, equipment, processes and technology will all impact on the information contained in the organization's policies, procedures and work instructions. All of these documents need review on a regular basis to ensure they remain relevant and reflect the current working methods. Reviewers should not only understand the document and its contents, but be aware of any pertinent background information.

Examples (NB use as guidance only)

- A document control procedure which describes the review process.
- Minutes of meetings which record reviews of documents or data.
- Circulation of draft documents which demonstrates input from competent persons.
- Documents reviewed in accordance with a predetermined schedule.

- How do you ensure that persons involved in health and safety document reviews are competent?

3.8.4 (Advanced)

Documents and data are regularly reviewed by competent persons to ensure that the information is current.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.8.5 (Advanced)

Obsolete documents and data are identified and retained (where required) for legal and/or knowledge preservation purposes and are removed from all points to prevent unintended use.

Documents kept for historical or legal purposes should be clearly identified and removed from use so that they are not confused with current versions.

Examples (NB use as guidance only)

- Documents stamped or otherwise identified as 'obsolete'.

- What does the organization do with obsolete documents?
- How does the organization determine what documents need to be retained?

- The only documents in user areas are current.

3.8.5 (Advanced)

Obsolete documents and data are identified and retained (where required) for legal and/or knowledge preservation purposes and are removed from all points to prevent unintended use.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.9 Hazard identification, risk assessment and control of risks -- General

3.9.1 (Initial)

Hazards, including public safety hazards, associated with the organization's activities, processes, products or services are identified, risks assessed and control measures implemented. This includes the identification of hazards associated with:

a) violence, harassment and workplace stress;
b) hazardous substances and dangerous goods;
c) manual handling;
d) plant and the associated systems of work;
e) the work environment; and
f) work at heights.

To identify hazards, the organization should look at where and how it does business and who could be affected. All foreseeable health and safety hazards should be identified. For example, the organization needs to evaluate the place where the work takes place, the related machinery, raw materials and how they are used in the production process. Hazardous manual handling tasks must be identified.

Hazards are not limited to the physical environment in which people work. Hazard can be introduced through the actual type of work or working arrangements at an organization. For instance, an organization needs to examine whether there are sufficient people allocated to perform a task safely under all circumstances including tight time frames and emergency situations. Some monotonous tasks may increase employee frustration and anxiety.

For many workplace hazards, there is very comprehensive information readily available to assist organizations. Regulations, codes of practice, industry and technical standards will provide guidance.

Records of the risk assessment should be maintained (refer criterion 3.9.4) to demonstrate how decisions are made on the suitability of risk controls [with reference to the hierarchy of controls]. Particular engineering controls should be selected on the basis that they will eliminate or substantially lower the risk to employees. Where an effective hazard control is achieved through a specific work method, safe work practices should be documented in the form of procedures and/or work instructions. The training, supervision, qualifications and equipment needed for the job should be included in the procedure.

This isn't a one-off exercise. Once an organization is up and running, the hazard identification, risk assessment and risk control process needs to be integrated into functions across the organization, e.g. into the planning of new product lines and purchasing of new equipment (Refer criterion 2.3.2).

Examples (NB use as guidance only)

- Insurance/loss control reports.
- Health and safety consultants reports for plant, premises, work processes, work environment issues, etc.
- Project reports which describe the implementation of risk controls.
- Written safe operating procedures for all potentially hazardous operations.
- Records of assessment of non-physical hazards.
- Engineering controls, e.g. guarding, acoustic dampening, ventilation/extraction systems, mechanical handling devices, etc.
- Minutes of meetings that record discussion of hazards, risk assessments or proposed controls.
- Work schedules that provide sufficient time and resources to safely perform tasks.

- Can employees confirm their involvement in the process?
- Has information from the organization's injury/incident records been used to identify hazards?
- Has the organization sought industry specific knowledge on hazards and causes of injuries and illness?

3.9.1 (Initial)

Hazards, including public safety hazards, associated with the organization's activities, processes, products or services are identified, risks assessed and control measures implemented. This includes the identification of hazards associated with:

a) violence, harassment and workplace stress;
b) hazardous substances and dangerous goods;
c) manual handling;
d) plant and the associated systems of work;
e) the work environment; and
f) work at heights.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.9.2 (Initial)

The hazard identification, risk assessment and risk control process is undertaken by personnel competent in the use of the organization's methodology.

There are many risk management methodologies available, e.g. qualitative risk assessment (using risk chart), risk calculation using a nomogram, process safety review, fault tree analysis, event tree analysis, cause-consequence analysis, 'what-if?', failure modes and effects analysis, hazard and operability study (HAZOP), energy models, human reliability analysis, etc. Whatever the methodology used, staff or consultants working with the organization's methodology must understand how it is used and should have undertaken some instruction or training in the process. Different methodologies are useful for different purposes and the staff or consultants should be aware of the strengths and weaknesses of the methodologies used.

Examples (NB use as guidance only)

- Copy of internal training records.
- Instructions to contracted health and safety professional(s) indicating the type of risk management process(es) used by the organization.
- Documentation confirming the knowledge of the risk management methodology being used by contracted health and safety professional(s).

- Can the relevant person(s) explain the application of the chosen methodology?

3.9.2 (Initial)

The hazard identification, risk assessment and risk control process is undertaken by personnel competent in the use of the organization's methodology.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.9.3 (Initial)

The organization documents all identified hazards, risk assessments and risk control plans.

In addition to compliance with legal requirements, the recording of risk management activities allows for easy referral, follow up and review. It would be almost impossible to ensure that hazard identification, risk assessments and risk control plans were comprehensive and complete, i.e. involved the relevant persons and looked at all relevant factors, without keeping some record of that process.

Examples (NB use as guidance only)

- Hazard register.
- Job safety analyses.
- Risk assessments and risk control plans.
- 'Safety Case' documentation.

3.9.3 (Initial)

The organization documents all identified hazards, risk assessments and risk control plans.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.9.4 (Initial)

Risks of identified hazards are assessed having regard to the likelihood and consequence of injury, illness or incident occurring, based upon the:

a) evaluation of available information;

b) records of incidents, illness and disease; and

c) the potential for emergency situations.

Risk assessment involves deciding whether it is likely that someone could be hurt by being exposed to the hazards, and how serious the injury or illness might be. Risk assessment should also address the likelihood and severity of incidents associated with the potential for property damage. All the contributing factors need to be identified and examined. Usually, there is extensive information available to assist with this assessment from within the organization and from external sources such as other similar workplaces, industry groups, legislators and technical journals, i.e. safety, medical and scientific. Any known instance where loss of control of the hazard has resulted in injury, illness or other serious outcomes needs review.

Examples (NB use as guidance only)

- Risk assessments that record or reference the current state of knowledge about the hazard and its potential effects.
- Risk assessments that refer to information in MSDS.
- Risk assessments that follow Code of Practice and/or advisory standard models.

3.9.4 (Initial)

Risks of identified hazards are assessed having regard to the likelihood and consequence of injury, illness or incident occurring, based upon the:

a) evaluation of available information;

b) records of incidents, illness and disease; and

c) the potential for emergency situations.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.9.5 (Advanced)

Health and safety hazards are assigned risk control priorities, having regard to the identified levels of risk.

The pupose of risk assessment is to determine the organization's and the employee's level of risk exposure. Clearly, the higher the level of risk exposure, the more urgent the action to be taken. Priority needs to be given to those risks at the more serious end of the scale, but the organization needs, also, to discuss and determine how and when all the risks will be reduced to an acceptable level.

Examples (NB use as guidance only)

- A risk control plan based on the determined level of risk of each hazard.
- Minutes of meetings that record discussion about priorities.

- Can employee representatives confirm that discussions have been held about the order in which hazards are to be actioned?

- Risk controls implemented according to a predetermined schedule.

3.9.5 (Advanced)

Health and safety hazards are assigned risk control priorities, having regard to the identified levels of risk.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.9.6 (Advanced)

The effectiveness of the hazard identification, risk assessment and risk control process is periodically reviewed and documented.

Continuous improvement in risk management will only occur when questions are asked about the integrity, validity and effectiveness of the mechanisms and processes which are used to manage risk. The organization needs to schedule regular opportunities to revisit the entire hazard identification, risk assessment and risk control process. When control measures fail to work as expected or incidents occur, there must be a check to determine whether the process was followed correctly, or whether the actual process itself is inadequate, inappropriate or otherwise flawed.

Examples (NB use as guidance only)

- Health and safety plans that schedule a review of the hazard identification, risk assessment and risk control process.
- Minutes of meetings that record discussion about the process used for a particular issue.
- Review documents that report on the effectiveness of the process.

- Can management explain what circumstances prompt the review of the hazard identification, risk assessment and risk control process/methodology?

3.9.6 (Advanced)

The effectiveness of the hazard identification, risk assessment and risk control process is periodically reviewed and documented.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.9.7 (Advanced)

The organization has a process for identifying and managing change that may impact on health and safety.

An organization is more exposed to risk during times of change in the workplace. A number of factors may influence this risk, e.g. unexpected situations, poorly considered changes to systems of work (either temporary or permanent), movement of personnel to new or different tasks, training that lags behind the development of new processes/equipment, introduction of new or different materials and equipment, increased use of contractors during an installation or overhaul, additional pressure on supervisors to maintain outputs and time delays in preparing revised documents, work procedures, work instructions, etc.

Examples (NB use as guidance only)

- Change management procedure which requires health and safety implications to be identified and strategies to be prepared.
- Project plans which identify interim arrangements to manage the health and safety risks associated with the introduction of changes.
- Training or workshop/meeting records that record discussions about managing change safely.
- Risk assessments.
- Contingency plans.

- What is the organization's definition of 'change'?
- Can managers explain how change is identified and managed?
- Can employees/representatives confirm that changes are managed safely?

- Additional staffing to cover peak workloads.
- Interim engineering controls or administrative controls, e.g. fencing, signs, access controls, etc.

3.9.7 (Advanced)

The organization has a process for identifying and managing change that may impact on health and safety.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.10 Hazard identification, risk assessment and control of risks -Specific

3.10.1 (Initial)

The organization determines those areas where access controls are required and ensures effective controls are implemented and maintained.

Some areas of the workplace environment require restricted entry. Deciding which parts of the workplace need restrictions on access is part of the hazard identification, risk assessment and risk control process conducted at criterion 3.9.1. Restricted access may be required to control the level of exposure to such things as mobile plant, electrical hazards, hazardous chemicals, hazardous machinery and electromagnetic radiation. If an organization has designated certain areas as restricted, it follows that procedures should be in place to ensure that conditions for entry are defined and access restrictions are enforced.

Examples (NB use as guidance only)

- Hazard identification, risk assessment and control documentation identifying restricted access areas.
- Site map showing restricted access areas.
- Records of checks done, e.g. inspection checklist, minutes of health and safety committee meetings, security guard reports, etc.

- Can employees indicate the areas which have restricted access?
- Can employees/representatives confirm that access controls are maintained?

- An access control procedure, e.g. sign-in book, security guards, authorised card access, key register, etc.
- Signs or systems which designate restricted access areas, e.g. pedestrian walkways and bollards to restrict vehicle access.
- Engineering controls, e.g. presence sensing devices, barriers and fences, conventional and time delay locks, etc.

3.10.1 (Initial)

The organization determines those areas where access controls are required and ensures effective controls are implemented and maintained.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.10.2 (Initial)

Health and safety requirements are identified, evaluated and incorporated into all purchasing specifications for services.

When an organization engages the services of contractors to perform work on its behalf, it must give special consideration to the health and safety issues involved in the provision of those services. For example, a contract may include reference to the people, processes and equipment to be used, the standard of work to be achieved, the legislative obligations to be met, the responsibilities of the various parties (refer criterion 3.2.4), and specify how the contractor is expected to comply with organizational procedures.

Examples (NB use as guidance only)

- A documented purchasing procedure that outlines how health and safety is considered prior to the decision to purchase services (which may be incorporated into a quality procedure).
- A preferred supplier listing, with information to demonstrate that all contractors on the list have been informed about the organization's specific health and safety requirements.
- Contract documents that specify the health and safety requirements of the contractor's service delivery.
- A tender process which requires information to be provided about the potential service provider's management of health and safety.

- Can the relevant contract manager/purchasing officer describe how the purchasing specifications are determined?

- Contractors adhering to organizational requirements, e.g. wearing high visibility vests in designated areas.

3.10.2 (Initial)

Health and safety requirements are identified, evaluated and incorporated into all purchasing specifications for services.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.10.3 (Advanced)

The ability to meet health and safety requirements is reviewed and evaluated in the selection of contractors.

The organization should have a process for the selection of contractors which requires the contractor to provide information about how health and safety is managed. The contractor's management system should address all health and safety issues relevant to the performance of the service required. Ideally the contractor should provide evidence through audits or inspections that demonstrates an effective health and safety management system is in place.

In some cases it may be necessary to visit the contractor's premises or work sites to assess the effectiveness of the health and safety management systems prior to engaging them to work for the organization.

Examples (NB use as guidance only)

- A contractor selection procedure which requires the provision of health and safety systems information.
- Tender documents which include requirements for the contractor to maintain effective health and safety systems.
- Documents relevant to management of health and safety obtained from contractors.
- Records of contractor assessments conducted by the organization.
- Minutes of meetings that record discussion of contractor health and safety management.
- Contractor recommendations or referrals.

- Can the contract manager explain the process for selection of contractors?

3.10.3 (Advanced)

The ability to meet health and safety requirements is reviewed and evaluated in the selection of contractors.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.10.4 (Advanced)

Contractor health and safety performance is monitored and reviewed to ensure continued adherence to health and safety purchase specifications.

Having documented the health and safety requirements with respect to the provision of services, it remains for the organization to ensure that the contractor provides what is stipulated. This makes good sense from a health and safety point of view and also from a financial viewpoint. Checks should be undertaken before the commencement of work and at defined intervals throughout the term of the contract or service period.

Examples (NB use as guidance only)

- A purchasing or contract procedure which describes the methods by which services are to be evaluated for conformance with specifications, e.g. performance indicators.
- Minutes of contract review meetings that record discussion of health and safety issues.
- Audit reports of contractor safety performance.
- Correspondence with contractors about health and safety matters/noncompliance.
- Recommendations regarding change of preferred suppliers.

- Can employees confirm that the safety performance of contractors is checked?

- Contractors operating safely.

3.10.4 (Advanced)

Contractor health and safety performance is monitored and reviewed to ensure continued adherence to health and safety purchase specifications.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.10.5 (Initial)

Hazard identification, risk assessment and the development of control measures are undertaken during the product or process design stage, or when the process is modified.

Hazard identification and risk assessments should be undertaken whenever the organization designs new or modified equipment, processes, products or work areas. The subsequent control measures should incorporate any legal requirements in relation to the organization's products, e.g:

- To classify dangerous goods and hazardous substances and develop and supply material safety data sheets; and
- Provide information relating to the safe use of products, and safe operation and maintenance of plant

Doing this at the design stage should not only ensure maximum safety, but reduce the number of modifications or alterations required during the manufacture, installation or commissioning phase.

Examples (NB use as guidance only)

- Project reports that record hazard identification, risk assessment and risk control activities at the design stage.
- Minutes of design review meetings that record discussion of health and safety issues associated with the proposed new work.
- Safe operating procedures and/or manuals for materials/equipment designed, produced and used in-house or sold by the organization.
- Material safety data sheets for substances produced and sold by the organization.

- Can employees confirm that health and safety issues are examined prior to installation or commissioning of new equipment or other changes?
- Can the maintenance department confirm that new equipment is able to be safely maintained?
- Can plant operators confirm that equipment is designed safely and operates within safe operating parameters?

- Direct observation of newly designed equipment or new processes.

3.10.5 (Initial)

Hazard identification, risk assessment and the development of control measures are undertaken during the product or process design stage, or when the process is modified.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.10.6 (Advanced)

Competent personnel verify that designs and modifications meet specified health and safety requirements.

Responsibility should be assigned to competent persons to ensure that all hazards are identified and risks assessed during design or redesign activities. The final design needs to match the health and safety requirements which have been specified in the project documents.

Examples (NB use as guidance only)

- A design procedure which requires competent persons to 'sign off' the project.
- Project documentation demonstrating input of competent persons.
- Minutes of project review meetings.

- What has the organization determined as the necessary academic qualifications, design experience, skills, technical and health and safety knowledge for 'competent' persons?

3.10.6 (Advanced)

Competent personnel verify that designs and modifications meet specified health and safety requirements.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.10.7 (Initial)

There are procedures to ensure that materials and substances are disposed of in a manner that minimizes risk of personal injury and illness.

The safety of persons and their environment must be considered whenever there is a requirement to dispose of materials or substances, e.g. demolition or dismantling of plant and equipment, asbestos, radioactive waste, by-products of manufacturing, cleaning processes and pathology services, including blood, specimens, sharps and other biohazards. In addition, disposal of chemicals creates potential for personal exposure and environmental contamination.

Examples (NB use as guidance only)

- Risk assessments.
- A procedure that details specific requirements for disposal of identified materials.
- Contracts with licensed asbestos removalists.
- Contracts with waste disposal companies.
- Records of disposal in accordance with procedures.

- Can relevant employees explain the safe methods for disposal?

- 'Sharps' containers.
- Waste treatment plants.
- Spill kits.
- Bund valves and triple interceptor valves in default 'closed' position.
- Appropriate storage methods and areas for surplus/damaged stock awaiting disposal.
- Observation of demolition work or dismantling of equipment which is consistent with safety requirements.

3.10.7 (Initial)

There are procedures to ensure that materials and substances are disposed of in a manner that minimizes risk of personal injury and illness.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.10.8 (Initial)

Facilities and amenities in the workplace conform, as a minimum, to relevant legislation, standards and codes of practice.

An organization must ensure that its facilities are of an acceptable standard and appropriate to the work undertaken. Facilities refers to washrooms, showers, lockers, dining areas, drinking water, etc. There may be specific legislative requirements and details in building regulations and codes.

Examples (NB use as guidance only)

- Assessment of facilities and amenities required at the workplace.
- Reports that demonstrate assessment of facilities against requirements.
- Completed workplace inspection documents that include a check of the suitability of facilities provided.

- Can employees/representatives confirm that facilities are acceptable and appropriate?

- Observation of acceptable and appropriate facilities and amenities.

3.10.8 (Initial)

Facilities and amenities in the workplace conform, as a minimum, to relevant legislation, standards and codes of practice.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.10.9 (Advanced)
The organization has a program to promote the health and wellbeing of employees.

As part of their work, employees may be exposed to hazards over which the organization has limited influence, e.g. working with hostile clients or continuous exposure to traumatic situations. A 'wellness' program can help by assisting people to better cope with these situations. The organization can also benefit from encouraging and supporting employees to realise their potential. 'Wellness' programs should lead to better morale and physical fitness, leading in turn to greater productivity, reduced absenteeism and improved team work.

Examples (NB use as guidance only)

- 'Health promotion' workshops/seminars/information sessions held on a regular basis.
- Subsidised gymnasium memberships.
- Corporate sporting activities.
- Counselling services.
- 'Quit smoking' campaigns.
- Resilience program.
- Peer support program.

- Do employees know about the program?

- Promotional posters.
- Recreation room.
- Healthy food options in staff canteen.
- On-site or nearby gymnasium equipment

3.10.9 (Advanced)

The organization has a program to promote the health and wellbeing of employees.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.10.10 (Initial)

The organization documents procedures or work instructions for the safe handling, transfer and transport of hazardous substances and dangerous goods.

The risks associated with hazardous substances and dangerous goods will usually increase when there is a need to move or handle them in some way. The way that substances are handled can dramatically influence the risk of illness, injury or damage. For instance, the work practices, processes, maintenance requirements and workplace conditions are some of the factors which have the potential to alter the risk of exposure and to cause property damage. The safest methods must be determined after thorough assessment, and documented to ensure that all relevant employees can employ them. Procedures can form the basis for the training of employees.

The transfer of chemicals increases the risks of, e.g. ignition, spillage, personal exposure or injury resulting from lifting or manually handling containers, cylinders and packages. Similarly the actual transport of chemicals from one place to another creates potential risks of temperature change, impact and damage to packaging causing spillage, fire, explosion, contamination of other products, etc. For these reasons, the handling, transfer and transport of substances is often regulated by government authorities. An organization should have documented procedures which not only describe best practice management of these activities but which also meet legal requirements.

Examples (NB use as guidance only)

- Copies of relevant legislation.
- Relevant documented procedures, e.g. procedures or work instructions for decanting, spraying, mixing, transfer, etc.

- Can employees/contractors/others explain the procedures for transfer/transport of particular substances?
- Can employees point to the location of the written instructions, and explain the correct methods for handling particular substances?

- Pictorial instructions at point of use.

3.10.10 (Initial)

The organization documents procedures or work instructions for the safe handling, transfer and transport of hazardous substances and dangerous goods.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.10.11 (Initial)

Comprehensive health and safety information on all hazardous substances and dangerous goods is readily accessible at the point of use.

Comprehensive information needs to be available to all staff that use hazardous substances and dangerous goods. It should be easy to refer to when needed, so the actual location of the information is crucial. Any MSDS which forms part of this information must be less than 5 years old and contain the relevant safety information, e.g. refer to the *National Code of Practice for the Preparation of Material Safety Data Sheets* [NOHSC:2011]. The organization needs to consider the most effective way of providing the information to the employees and others, e.g. in hard copy, electronic format and when required translated into other languages.

Examples (NB use as guidance only)

- Minutes of meetings which record discussion about suitable content and placement of information.
- Responsibility assigned for maintaining currency of information.

- Can the relevant employees point to where the information is kept and retrieve the information?
- Can relevant employees explain or refer to the relevant safety requirements for handling, spillage and disposal, first aid and emergency, etc.?

- Current MSDS and other relevant information at point of use.

3.10.11 (Initial)

Comprehensive health and safety information on all hazardous substances and dangerous goods is readily accessible at the point of use.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.10.12 (Initial)
The organization ensures that hazardous substances and dangerous goods are safely stored.

Once the hazards have been identified and the risks assessed, the organization uses this information to ensure that hazardous substances and dangerous goods are stored in a manner that reduces the risks posed by these chemicals. For example, this will require that:

- Each substance is stored under environmental conditions that will ensure its integrity, i.e. within the manufacturer's recommendations on the MSDS or information on the label, e.g. storage of gas cylinders out of direct sunlight;
- Sources of ignition, e.g. non-flame proof electrical equipment and installations, vehicles, smoking areas and hot work are sufficiently separated from flammable substances;
- Any storage or spills of substances can be contained and isolated from other incompatible substances, materials or structures;
- Substances are not kept beyond their stability limit, e.g. self reacting monomers are stabilized and kept at the appropriate temperature and pressure;
- Any expiration dates are identified and procedures introduced to ensure that out-of-date substances are not distributed or used;
- Bulk containers and ancillary equipment is fit for the purpose and maintained in accordance with technical standards and manufacturer's guidelines;
- Any specific legal requirements are met;
- Storages of substances are separated from buildings and public areas in accordance with published technical standards and protected from damage or impact; and
- Persons are prevented from falling into or being engulfed by liquid or solid substances.

Examples (NB use as guidance only)

- Manual or procedures that identify specific storage requirements for each class/type of chemical.
- 'Hazard alerts' which identify issues associated with the storage of specific chemicals.
- Copies of legislation and associated standards relating to the storage of hazardous substances and dangerous goods.
- Packaged goods inspection records.
- Engineers reports of tanks and spill containment/bunded areas.
- List of identified materials subject to deterioration and/or 'use by' dates.
- Classification of 'hazardous areas' report (refer AS/NZS 2430).

- Do employees know which substances are to be kept separate?
- Can employees explain the safe storage requirements?

- Impact protection.
- Designated areas designed to segregate incompatible classes of hazardous substances and dangerous goods.
- Evidence of spillage control systems in storage areas.
- Flammable liquid cupboards or rooms.
- Adequate ventilation.
- Flameproof and/or intrinsically safe electrical equipment.
- Containers/packages in good condition.

3.10.12 (Initial)

The organization ensures that hazardous substances and dangerous goods are safely stored.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.10.13 (Initial)
There are 'Permit to Work' procedures for high-risk tasks.

A 'Permit to Work' procedure is an administrative control used to reduce the risk of illness or injury arising from particular work situations. These are usually associated with construction, maintenance or cleaning operations. A Permit is a formal written authority given to an appropriately trained employee (or contractor), to carry out work in areas where particular hazards or adverse conditions may be present. The permit, issued by an authorised person, confirms that the job in question has been assessed and clearly defines the safety precautions to be taken. The procedure must be rigorously enforced. The success of these procedures relies on effective training, supervision and maintenance of any necessary personal protective equipment, access and testing equipment. Permits are typically issued for entry to confined spaces, hot work activities such as welding, grinding, introduction of ignition sources in areas where flammable vapours may be present, use of radioactive sources, roof access, working at heights, high voltage installations and digging or trenching operations.

Examples (NB use as guidance only)

- 'Permit' procedures that describe the range of permits, and provide detailed instructions for each type of work, including the responsible persons.
- List of people authorised to issue and cancel permits.
- Completed permits.
- Standard operating procedures that reference the permit procedures.

- Can maintenance personnel explain the permit procedures?
- Can the authorising officers explain the permit process?

- Access/work in operation which demonstrate conformance to permit procedures.
- Signs that designate areas subject to access permit.

3.10.13 (Initial)
There are 'Permit to Work' procedures for high-risk tasks.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.10.14 (Initial)

Where personal protective equipment is required, it is appropriate for the task, its provision is accompanied by suitable training, and it is used correctly and maintained in a serviceable condition.

Personal protective equipment (PPE) is sometimes chosen as a permanent or temporary control measure to reduce personal risk exposure to certain hazards in the workplace. It is often used in conjunction with higher order risk controls, e.g. engineering. The use of PPE should be supported by instruction, training, supervision of use, regular maintenance and replacement procedures. The effectiveness of PPE as a risk control relies on ongoing administrative processes. It is therefore a lower order, less desirable risk control option.

Examples (NB use as guidance only)

- Risk assessments.
- Work procedures that specify the type of PPE required for tasks.
- A record of supply and replacement of PPE.
- Records of PPE training and instruction provided to employees.
- PPE maintenance procedures and records, e.g. for self contained breathing apparatus.
- Documented medical, physical or other requirements which apply to employees who are required to wear PPE.
- PPE replacement procedure, e.g. hard hats, goggles, etc.

- Can the organization explain the choice of PPE as a control measure?
- Can relevant employees explain the PPE procedures for use (including fit), storage, maintenance and replacement?

- Identification of areas, e.g. signs where PPE is required.
- Observation of PPE storage practices.

3.10.14 (Initial)

Where personal protective equipment is required, it is appropriate for the task, its provision is accompanied by suitable training, and it is used correctly and maintained in a serviceable condition.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.10.15 (Initial)

Plant and equipment is maintained and a record is kept which includes relevant details of inspections, maintenance, repair and alteration of plant.

An organization should be confident that plant and equipment will operate safely under all foreseeable operating conditions. A scheduled inspection and maintenance program will contribute to that aim, and also assist in the prevention of breakdowns and repairs. Schedules may be based on the manufacturer's recommendations, legislative requirements, technical standards, and industry or local experience with the plant and equipment. Keeping detailed records of all maintenance demonstrates compliance, and provides hard evidence about equipment performance.

Examples (NB use as guidance only)

- Maintenance schedules that match manufacturers guidelines and legislative requirements.
- Detailed inspection procedures for all relevant items of plant and equipment including timetables, checklists, etc.
- A plant register or record for all relevant items of plant and equipment. [The record(s) should include, as a minimum, inspection details, maintenance history, alterations and registration details where appropriate. The format could be hard copy such as files, log books or card index or it may be a computerised maintenance record system, depending on the needs of the organization.]

- How does the organization satisfy itself that plant and equipment are safe?

- Plant and equipment free of physical signs that would indicate lack of maintenance, e.g. corrosion, oil leaks, mechanical stress and excessive wear or other damage.

3.10.15 (Initial)

Plant and equipment is maintained and a record is kept which includes relevant details of inspections, maintenance, repair and alteration of plant.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.10.16 (Initial)

There is a process for unsafe plant and equipment to be identified and quarantined or withdrawn from service.

Procedures should be developed to ensure that employees and others can report plant or equipment that appears unsafe and which may be in need of maintenance or replacement. Once the plant is confirmed as unsafe, the procedure should enable the identification and timely removal of the item of plant or equipment from service. Methods of isolation may include using a quarantine area, tagging the equipment, attaching a locking device, removing the energy source, etc.

Examples (NB use as guidance only)

- A procedure that includes a reporting mechanism and tagging of unsafe plant for removal from service.

- Can employees explain how equipment is identified as being 'unsafe'?

- Tagging or quarantine procedures in use.
- Appropriate and current tags available/in use.

3.10.16 (Initial)

There is a process for unsafe plant and equipment to be identified and quarantined or withdrawn from service.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.10.17 (Initial)

Appropriate controls are used to ensure the safety of persons working on or near plant and equipment that is in the process of being cleaned, serviced, repaired or altered.

Where there is the possibility of an inadvertent start-up of plant there must be a system to control access to the starting mechanisms or power sources. Other hazards may include the presence of toxic gases or lack of sufficient oxygen in the surrounding atmosphere, the need to energise the plant to check settings, or working on or around plant that is in operation. These situations need to be controlled to protect the safety of persons, such as cleaners, operators and maintenance employees.

Procedures for de-energising the plant, or a section of the plant, are necessary to prevent those persons coming into contact with dangerous or moving parts. For instance, a 'lock out' system involves the use of locking devices to isolate and prevent machinery becoming operational. Other engineering controls may be used to prevent plant operation or to ensure that the plant will only operate with limited, time delayed movements.

Examples (NB use as guidance only)

- Isolation and lockout procedures for maintenance activities.
- Maintenance access permit system.
- Records, e.g. logbook of lock out/tag out activities.

- Can maintenance/operations employees describe the isolation and lock out procedures?
- Can employees explain what situations require atmospheric testing prior to entering for cleaning/maintenance purposes?
- What controls are used to protect people from plant and equipment that have stored energy?

- Engineering controls such as 'teach mode' on robot installations, time delay limited movement or inching controls, captive key systems, etc.
- Lock out stations.
- Lock out procedures displayed on individual items of plant.
- Locks in use.

3.10.17 (Initial)

Appropriate controls are used to ensure the safety of persons working on or near plant and equipment that is in the process of being cleaned, serviced, repaired or altered.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.10.18 (Initial)
Competent personnel verify that plant and equipment is safe before being returned to service after repair or alteration.

Repairs or alterations should be completed as specified and normal operating conditions and safety features checked before plant is returned to service. A competent person should be authorised and delegated with the responsibility for ensuring that the above conditions are met.

Examples (NB use as guidance only)

- Documents which describe the procedure for signing off repairs.
- Lock out procedures which describe the checks to be made before re-start, including the persons responsible for those checks.
- Service records that confirm checks of plant made by designated persons after repair/alteration.

- Can the relevant personnel explain what checks are required before plant/equipment is returned to operation?
- Can employees/representatives confirm that plant/equipment is checked for safety before it is returned to operation?

3.10.18 (Initial)

Competent personnel verify that plant and equipment is safe before being returned to service after repair or alteration.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.10.19 (Initial)

The organization determines their health and safety requirements prior to the purchase of goods, and communicates those specifications to the supplier.

Health and safety issues should be considered prior to any purchase of equipment, materials or substances. The organization needs to consider:

- legal requirements;
- relevant standards;
- potential impact on affected personnel;
- training requirements;
- changes to work procedures;
- personal protective equipment; and
- any other relevant technical data or information.

This helps to anticipate hazards and avoid or minimise the risks connected with the use of the new equipment or materials. Those involved in the selection of new products should check the relevant available health and safety information before making the purchase. The purchase can also generate other health and safety needs at the workplace. For example, a new item of plant may require operator training, new procedures and work instructions and perhaps extra supervision for a time. Similarly, a new substance at the workplace may require training for users, specific personal protective equipment, new storage areas, extra monitoring and sampling equipment and documented procedures. Identifying these additional issues up front will reduce the likelihood of injury and illness and provide more accurate costings and ensure that resources are available to satisfy those needs.

After the organization determines the health and safety component of the purchase, the next step is to communicate those requirements to the supplier of the goods.

Examples (NB use as guidance only)

- A documented purchasing procedure that outlines how health and safety is considered prior to the decision to purchase (which may be incorporated into a quality procedure).
- A system or listing of relevant health and safety and related information that can be accessed by those recommending a purchase.
- Examples of where health and safety has been examined prior to the decision to purchase, including risk assessments, completed pre-purchase checklists which prompt users to identify additional needs, records of meetings with suppliers and user trials of equipment.
- Procedure for incorporating the health and safety standard and legislative requirements into purchase specifications.
- Copies of purchase orders that specify health and safety requirements (including applicable standards, e.g. for noise).
- Supplier catalogues, containing details of product compliance with desired legislative or standard requirements, that match the items listed on purchase orders.
- Purchase orders placed with 'approved suppliers', providing that approved suppliers have been selected on the basis of their ability to supply the selected products to the required standard.

- Can employees recall any situations where new equipment or new chemicals were introduced, *and* if the necessary changes were made at the same time, e.g. new instructions, training, changes to maintenance/cleaning routines?

- Products that comply with specifications.

3.10.19 (Initial)

The organization determines their health and safety requirements prior to the purchase of goods, and communicates those specifications to the supplier.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.10.20 (Advanced)
Purchased goods are checked for conformance to purchasing specifications.

It is important to let the supplier know what the organization wants, i.e. communicate the health and safety specifications at the time of purchase. However, it is equally important to check that the supplier meets those specifications and also sends the right article. Once they are delivered, all goods need to be checked against the purchasing specifications. That check may sometimes need to be done by the person who originated the purchase. The check should be completed before the new goods are accepted for payment.

Examples (NB use as guidance only)

- A purchasing procedure which includes a checking requirement to ensure that goods received match purchasing specifications.
- Records of checks of received goods against health and safety specifications.

- Can employees explain how the health and safety specifications are verified?

- Central inward goods/receiving and holding area.

3.10.20 (Advanced)

Purchased goods are checked for conformance to purchasing specifications.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.10.21 (Initial)

Safety signs, (including regulatory, hazard, emergency information and fire signs), meet relevant standards and codes of practice, and are displayed in accordance with legal and organizational requirements.

Signs are used to assist with the communication of information about hazards at the workplace and to provide advice about responding in emergency situations. Certain warning signs are required to assist emergency personnel and authorities to effectively respond at an incident. An organization needs to establish which safety signs are required to meet legislative requirements, industry and internal standards. To ensure a consistent approach and standard of presentation for all safety related signs, organizations should comply with the relevant legislative requirements and/or published standards, e.g. Australian Standard AS 1319 *Safety Signs for the Occupational Environment*.

Examples (NB use as guidance only)

- Workplace assessments that report on the standard and type of signs required in the workplace, e.g. exit signs, pictorial signs, dangerous goods class labels and placards.
- Purchasing procedures that ensure that signs comply with the relevant standard.
- A procedure for review of sign requirements in response to changes (of legislation and/or workplace arrangements).
- A report indicating that standards of workplace signs are maintained.
- Workplace inspections which include a check of signs.

- Well maintained signs that meet organizational requirements and well located in the appropriate areas.

3.10.21 (Initial)

Safety signs, (including regulatory, hazard, emergency information and fire signs), meet relevant standards and codes of practice, and are displayed in accordance with legal and organizational requirements.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.10.22 (Initial)

There are procedures to ensure that materials are transported, handled and stored in a safe manner.

Inappropriate transport, handling or storage of materials can increase the risk of injuries and illnesses. Inadequate systems may result in overloading of storage facilities, excessive reaching or lifting, restricted aisles and passageways, overcrowding or traffic congestion. The hazards associated with mobile plant are well documented. The organization should aim for systems to manage mobile plant which are consistent with legal requirements, industry best practice and latest technology.

(Note: This criterion does not refer to hazardous substances or dangerous goods).

Examples (NB use as guidance only)

- Risk assessments.
- A warehousing procedure that identifies safe stacking heights, storage areas, speed limits, lift truck operations, etc.
- Safe mechanical and manual handling procedures for movement of materials.
- Records of inspection and maintenance of racking, pallets, pallet trucks, trolleys and other mechanical aids.
- Records of checks that materials are stored in designated storage areas.

- Can the relevant employees explain the procedures for safely moving and storing materials?

- Designated storage areas.
- Separation of pedestrian traffic from mobile plant operations.
- Safely stacked material.
- Pallets in good condition.
- Safe working loads marked on racking.
- Well designed and well organised storage and retrieval systems, including loading and unloading areas.
- Appropriate access and materials handling equipment available.

3.10.22 (Initial)

There are procedures to ensure that materials are transported, handled and stored in a safe manner.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.10.23 (Initial)
Individuals are supervised according to their capabilities and the degree of risk of the task.

Employees require differing levels of supervision depending upon the complexity of the assigned tasks, the risks associated with those tasks and the capability of the individual. Employees who have experience performing the task are likely to be more capable than those just starting out. All these factors should be considered when determining the degree of supervision required.

Examples (NB use as guidance only)

- Risk assessments/task analysis that identify the level of supervision required for tasks.
- Evaluations of employee competency to perform assigned tasks.
- Supervision/team rosters which demonstrate resources in appropriate areas at appropriate times, e.g. for new employees or for higher risk tasks.
- Logbooks.
- 'On the job' training procedures (and records) that identify the level of supervision required (and provided).

- Can supervisors explain what situations/personnel require extra supervision?
- Can employee representatives confirm that individuals/tasks get the necessary supervision?

3.10.23 (Initial)

Individuals are supervised according to their capabilities and the degree of risk of the task.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.10.24 (Advanced)

There are supervisory arrangements that ensure that tasks are performed safely and work instructions and procedures are followed.

Supervision will provide some confidence that tasks are performed in accordance with work instructions or procedures. The organization should determine the resources, the arrangements and individual competencies required to deliver the necessary level of supervision.

Examples (NB use as guidance only)

- Organization chart that identifies line managers.
- Rosters that record allocation of supervisor/team leader position.
- Job descriptions include the requirement for supervisors to ensure tasks are performed safely.
- Procedural compliance audits.
- Manager and supervisor health and safety performance appraisals.

- Can the managers/supervisors explain how the supervisory arrangements have been determined?
- Can employees/representatives confirm that supervisory arrangements are suitable across all shifts and for all types of work?

3.10.24 (Advanced)

There are supervisory arrangements that ensure that tasks are performed safely and work instructions and procedures are followed.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.10.25 (Initial)

There is a documented process which requires the organization to identify potential health and safety hazards, (including public safety hazards), assess the potential risks and determine appropriate risk control strategies before it accepts a contract to supply its goods or services to others.

Organizations that tender to supply goods or services to external parties, and enter into formal contracts, need to consider the health and safety implications of the proposed work. This reduces the possibility of injury and illness resulting from equipment failure, defective products or poor work practices. Public safety issues need to be included in these considerations, as do the suitability of plant and equipment, training of employees, site specific hazards, and legislative requirements.

Examples (NB use as guidance only)

- A procedure for contract review that addresses health and safety, including public safety.
- Risk assessments.
- Minutes of contract review meetings.
- Contracts that include specific health and safety requirements for the delivery of the goods or services.

- Can the contract managers explain how health and safety is included in the contract review process?

- Sites/work conforming to health and safety specifications of contract.

3.10.25 (Initial)

There is a documented process which requires the organization to identify potential health and safety hazards, (including public safety hazards), assess the potential risks and determine appropriate risk control strategies before it accepts a contract to supply its goods or services to others.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.10.26 (Initial)

Where the organization is required to provide its services at a customer's workplace, the health and safety hazards affecting the organization's employees are identified, risks assessed and appropriate control measures adopted.

The organization needs to protect the health and safety of its employees whether or not the workplace is owned by and under the control of the employer. For example, community care employees, sales representatives and service technicians. The organization may need to liaise with the customer to determine the necessary health and safety arrangements and to assess the environment in which the employees will be expected to work. For example, information may be gathered on environmental or other local hazards, what site induction and specific training will be provided, permit to work systems, status of equipment to be used, what supervision will be provided, the name of the management representative for health and safety, the restricted areas and emergency and first aid response.

Examples (NB use as guidance only)

- Completed risk assessments or checklist-type documents that identify health and safety requirements at customer workplaces. For example, a site safety plan.
- Supporting instructions for employees, such as technicians, about actions to be taken if a customer workplace fails to meet safety standards defined in checklists.
- Records of training for relevant employees in how to identify health and safety hazards at customer workplaces, and action to be taken.
- Contracts or agreements with customers that include requirements for health and safety.
- Incident/hazard reports, correspondence, records of meetings that deal with customer safety issues.
- Health and safety audits/inspections of customer workplaces, e.g. checks of host employers for apprenticeship training schemes.

- Can employees/representatives explain how their health and safety is considered when they are providing services to their customers off site?

3.10.26 (Initial)

Where the organization is required to provide its services at a customer's workplace, the health and safety hazards affecting the organization's employees are identified, risks assessed and appropriate control measures adopted.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.10.27 (Advanced)

Customer-supplied goods and services used in the organization's work processes are subject to hazard identification, risk assessment and control prior to use.

Customer-supplied goods and services are those which are supplied to the organization by a customer. The organization then performs work on that product or uses that service as part of another task.

Examples are raw materials or components supplied by a customer who requires the organization to mix or process the materials into a product. Repair type industries routinely perform work on customer-supplied product. Testing laboratories provide services involving customer samples, including infectious and hazardous substances.

When customer-supplied goods or services are received they need to be assessed for safety in the same way as any other goods or services used by the organization. This may involve undertaking a hazard identification and risk assessment prior to use. If necessary, customer-supplied product should be quarantined from other products until suitably assessed. Systems are needed which would identify any damage, deterioration, or changes in composition which could impact on health and safety at the workplace.

Examples (NB use as guidance only)

- A documented procedure which requires that customer-supplied goods and services undergo hazard identification and risk assessment.
- Records of hazard identification and risk assessment for customer-supplied products.
- Procedures and work instructions for safe handling of customer-supplied product.

- How does the organization verify that customer-supplied goods or services always meet the agreed specifications?
- Can the employees/representatives describe the health and safety specifications of the customer-supplied goods or services, e.g. labelling, packaging, test results, material?
- Can employees/representatives explain what happens with customer-supplied products or services that don't conform to health and safety requirements?

- Quarantine areas for customer-supplied goods.

3.10.27 (Advanced)

Customer-supplied goods and services used in the organization's work processes are subject to hazard identification, risk assessment and control prior to use.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.10.28 (Advanced)

Where product is sold and there is the potential for that product to cause public health and safety concerns, there are documented procedures to enable the product to be traced to the point of sale.

The organization, whether a manufacturer, importer or supplier needs to manage the risk of defective product. Procedures covering product traceability should place particular emphasis on those products which potentially could harm members of the public. The procedures need to include the mechanism by which the public is notified and the product recalled. This would also cover situations where a product is designed as non harmful but could become harmful under certain circumstances, e.g. food products. (Refer to criteria 3.5.3 & 3.5.4).

Examples (NB use as guidance only)

- A 'product recall' policy (which may be included in risk management plans).
- Procedures for unique identification of products and product batches.
- Product distribution information.
- Records of product recalls or public notices.

- How does the organization find out or determine that a product has health and safety concerns for consumers?
- What triggers a product recall?

- Batch numbers and dates.
- Use-by dates on products.

3.10.28 (Advanced)

Where product is sold and there is the potential for that product to cause public health and safety concerns, there are documented procedures to enable the product to be traced to the point of sale.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.10.29 (Initial)

All substances in containers and transfer systems are identified and clearly labelled to avoid inadvertent or inappropriate use.

It is vital that raw materials and other products can be easily identified to avoid incorrect use and subsequently any potential harm to people or damage to plant or property. Where this is likely, the packages, containers, tanks and pipelines should carry appropriate labels or other markings to meet the relevant standards and ensure the contents can be identified. In particular, hazardous substances and dangerous goods must be clearly and durably labelled to ensure the safety of persons required to handle those substances.

Where appropriate, non hazardous substances should be clearly labelled to distinguish them from those that are hazardous. Where substances are decanted into smaller containers, the container must be suitable for the contents and clearly labelled. Labelling must include the relevant safety information.

The organization should also ensure that any substances which are stored on site are known and labelled appropriately, e.g. cleaning materials, gardening chemicals, etc. which might be stored for use by contractors.

Examples (NB use as guidance only)

- A purchasing procedure which incorporates checks of all incoming substances to ensure correct supply and clear, durable labelling.
- A procedure to ensure that all substances are appropriately identified and, where necessary, labelled throughout the production process.
- Labels are produced to comply with legislative requirements.
- Records of hazard/quality inspections which check suitability and integrity of labels.

- Can employees correctly identify the contents of all containers, receptacles, etc.?

- Clear identification, labelling and marking on all packages, containers, tanks and pipelines.

3.10.29 (Initial)

All substances in containers and transfer systems are identified and clearly labelled to avoid inadvertent or inappropriate use.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.11 Emergency preparedness and response

3.11.1 (Initial)
Potential emergency situations have been identified and emergency procedures are documented and regularly reviewed.

Emergency situations, which could originate both on and off-site, need to be identified prior to the development of suitable emergency procedures.

On-site emergency situations may include:

- a hazardous chemical leak on the premises;
- a fire;
- a bomb threat or other threatening situation; or
- a medical emergency.

Off-site emergency situations could include:

- a building or a grass fire on an adjoining property;
- a chemical leak from a nearby chemical complex; or
- a company vehicle involved in a road accident.

Documented arrangements must at least cover evacuation procedures and should be developed where possible with the help of expert advice. A regular review process will ensure that the procedures remain appropriate to the likely emergencies. It is logical to review procedures when alterations are made to the site, or in response to changes in the business environment, e.g. security alerts. The frequency of reviews may also depend on the complexity of the procedures.

Examples (NB use as guidance only)

- Risk assessments.
- Emergency procedures manual.
- Schedule of reviews of emergency procedures.
- Emergency procedures which record dates of review.
- Minutes of meetings which record discussion about the suitability of emergency procedures.
- Correspondence/records of meetings with industry experts in emergency management.

3.11.1 (Initial)

Potential emergency situations have been identified and emergency procedures are documented and regularly reviewed.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.11.2 (Initial)

The organization has allocated overall responsibility for control of emergency situations to specified individuals and communicated this information to all personnel.

When emergency situations arise, there should be persons appointed and ready to manage the situation. The organization should consider which persons are best suited to take on these responsibilities and let all employees know who they are.

Examples (NB use as guidance only)

- An emergency plan showing the names of wardens or emergency controllers.
- Induction process that includes introducing employees to local fire wardens.

- Are employees able to recognise the fire wardens in their work areas?

- Identification apparel for responsible persons, e.g. helmets, armbands, etc.
- Notices posted of the names of persons with emergency control responsibilities.

3.11.2 (Initial)

The organization has allocated overall responsibility for control of emergency situations to specified individuals and communicated this information to all personnel.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.11.3 (Initial)

Employees receive training and practice in emergency procedures appropriate to their allocated emergency response responsibilities and the degree of risk.

To ensure an effective response to emergency situations, all employees need to be trained in the relevant emergency procedures. For instance, rescue and first aid procedures need to be rehearsed by employees who are required to work in confined spaces. Persons who are appointed to manage an emergency should receive training that will enable them to discharge those responsibilities confidently and competently. Employees also need to have the knowledge and confidence to take immediate action. Practices and rehearsals should cover all emergency situations, e.g. mock fire situations, medical emergencies, bomb threats, etc.

Examples (NB use as guidance only)

- Attendance records for general emergency training, e.g. included in induction.
- Outline of warden training program.
- Attendance records at warden training.
- Schedule of tests, drills or other rehearsals of emergency procedures.
- Records of emergency tests or drills.
- Records of attendance at mock emergency practice drills.

- Can employees/representatives explain what to do in the event of a specific emergency?
- Can employees/representatives confirm that emergency procedures are practised?

- Emergency plan posted.
- Emergency instructions posted.

3.11.3 (Initial)

Employees receive training and practice in emergency procedures appropriate to their allocated emergency response responsibilities and the degree of risk.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.11.4 (Initial)

Competent persons have assessed the suitability, location and accessibility of emergency equipment.

Appropriate emergency equipment needs to be readily accessible in the event of an emergency. Advice about the type and location of equipment should be sought from competent professionals, e.g. organizations such as the fire brigade. These persons can advise about the performance of particular equipment and which type will best cope with the range of potential situations, whether for fighting fires, dealing with chemical spills or alerting others where there are threats to personal security.

Examples (NB use as guidance only)

- Emergency equipment assessment reports prepared by competent professionals or organizations.

- Can the organization demonstrate that the emergency equipment assessment is still current, i.e. have any changes been introduced that would affect the location and type of emergency equipment needed?

- Specified emergency equipment located in accordance with assessment.
- Spill kits provided with instructions, suitable absorbent material, appropriate personal protective equipment, etc.
- Emergency showers and/or eyewash stations operating and maintained.

3.11.4 (Initial)

Competent persons have assessed the suitability, location and accessibility of emergency equipment

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.11.5 (Initial)

Emergency and fire protection equipment, exit signs and alarm systems are inspected, tested and maintained at regular intervals.

Emergency systems need to be regularly inspected and tested to verify that they are working effectively or will activate as required. Emergency equipment may include smoke detectors, fire extinguishers, sprinklers, fire hoses, emergency lighting, evacuation warning devices, spillage containment materials and duress alarms.

Examples (NB use as guidance only)

- Contracts for inspection and maintenance of emergency equipment, systems and exit signs.
- Records of inspection and maintenance in accordance with contracts.
- Test results or logbook of alarm tests.
- Emergency lighting test logbook.
- Records of workplace inspections which check operation of smoke detectors.
- Plan that shows location and type of all emergency equipment provided.

- Can the organization explain the schedule for inspection and test of all emergency equipment that ensures it remains in operational condition?

- Service tags on extinguishers and hose reels.
- Illuminated emergency exit signs.
- Records of tests in sprinkler main control rooms.
- Clearance maintained to emergency equipment, including sprinkler heads.
- Spill kits complete.

3.11.5 (Initial)

Emergency and fire protection equipment, exit signs and alarm systems are inspected, tested and maintained at regular intervals.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.11.6 (Initial)
A dangerous goods manifest or inventory system is in operation.

An organization needs to keep track of the range and quantity of dangerous goods that are stored on its premises. This helps to manage storage areas, ensure that all MSDS are obtained and where required, manage notification requirements to the relevant authorities.

The inventory or manifest should list all dangerous goods, and the quantities used or produced at the workplace. The inventory needs to be updated when new dangerous goods are introduced or old ones are discontinued.

The dangerous goods inventory/manifest should be readily available and accessible to emergency authorities.

Examples (NB use as guidance only)

- A dangerous goods inventory database
- Correspondence with emergency authorities regarding the quantity and classes of dangerous goods on site.

- Can relevant employees explain how the inventory is managed?

- A copy of the current dangerous goods manifest in an emergency information box at the vehicle entry to the site.

3.11.6 (Initial)

A dangerous goods manifest or inventory system is in operation.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.11.7 (Initial)

The organization has assessed its first aid requirements, and the first aid system in place is appropriate to the organizational risks.

Prompt first aid will minimise the effects of an injury or illness and promote quicker recovery. Trained first aiders, first aid equipment and facilities appropriate to the nature of the likely risks should be available.

Examples (NB use as guidance only)

- A current documented assessment of workplace first aid requirements, e.g. number of first aiders, level of first aider training, number of first aid kits, first aid equipment, special requirements such as antidotes, etc.
- Records of inspections that check first aid facilities.
- Records of first aid treatment.
- Records of first aider training.

- Can the organization demonstrate the factors taken into account in the first aid assessment, e.g. previous injuries or illnesses at the workplace?

- First aid kits.
- First aid room.
- Eye wash facilities.
- Emergency showers.
- Resuscitation equipment.

3.11.7 (Initial)

The organization has assessed its first aid requirements, and the first aid system in place is appropriate to the organizational risks.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

3.11.8 (Advanced)

The organization has systems in place to assist employees who are exposed to critical incidents at work.

A critical incident is any incident which directly or indirectly causes significant distress to a person, either at the time it occurs or later. Critical incident stress management is required in many industries, e.g. banking, emergency services, health care, etc.

As part of the hazard identification and risk assessment process, an organization should identify the tasks or areas where employees may be exposed to critical incidents as a result of their work.

There should be procedures in place to support and assist employees. Effective system components will include policy, procedures, staff training and the provision for defusing, debriefing and counselling services by appropriately trained personnel.

Examples (NB use as guidance only)

- Risk assessment documentation showing persons or areas where there is a likelihood of work related critical incidents.
- Critical incident stress management policies and procedures.
- Contract with debriefing and counselling services.
- Training program for 'at risk' personnel and records of training.
- Statistics or records of critical incident debriefing and counselling services provided.

- What is the organization's definition of a 'critical incident'?
- How does the organization become aware of a critical incident?
- Can employees/representatives confirm that the organization provides support to employees after critical incidents?

- Posters that advertise critical incident services for employee assistance/peer support.
- On-site facilities for counselling/peer support.

3.11.8 (Advanced)

The organization has systems in place to assist employees who are exposed to critical incidents at work.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

4.1 Monitoring and measurement - General

4.1.1 (Initial)
There is a documented health and safety inspection program that:
a) defines intervals for inspections that are based on identified risk;
b) incorporates a reporting and corrective action process; and
c) uses workplace specific checklist(s).

Regular inspections will identify uncontrolled hazards and unplanned changes occurring in the workplace. Once identified, they must be reported. An assessment will then determine the appropriate corrective action. Responsibilities must be assigned to ensure that corrective actions are implemented and monotored.

Checklists, developed as part of the initial risk assessment activity, provide a useful prompt and promote consistency of approach to the inspections. A checklist needs to be tailored to the particular workplace or site. 'Generic' documents often contain irrelevant items and can overlook vital issues specific to particular areas or operations. For this reason it is a good idea to consult about the development of the checklist with those employees who work in the areas exposed to the hazards.

Examples (NB use as guidance only)

- Risk assessments.
- Documented procedures for inspection that include schedules and checklist(s) covering all locations (including mobile and temporary) and hazards, and which requires that persons are assigned responsibility for ensuring that corrective actions are implemented.
- Records of inspections undertaken at regular intervals.
- Inspection reports which include details of corrective actions to be taken and by whom.

- Can the organization explain the rationale for the inspection frequency/inspection schedule?

4.1.1 (Initial)

There is a documented health and safety inspection program that:

a) defines intervals for inspections that are based on identified risk;

b) incorporates a reporting and corrective action process; and

c) uses workplace specific checklist(s).

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

4.1.2 (Initial)

The inspection program includes checks that monitor:

a) conformance to the organization's safe working procedures;

b) compliance with relevant health and safety legislation; and

c) the effectiveness of control measures.

Inspections should check more than physical hazards in the workplace. The inspection program should:

- Focus on how employee behaviour matches their expected safety performance, and whether the standard operating procedures need to be reviewed;
- Check whether the workplace meets legislative obligations, e.g. appropriate employee facilities, licensed drivers, etc.;
- Check all control measures for effectiveness, particularly those that have been recently introduced as a result of corrective actions for incident investigations or workplace inspections.

Examples (NB use as guidance only)

- Inspection documents which cover checks of safe operating procedures and relevant legislative requirements.
- Minutes of meetings that record discussion on the evaluation of corrective actions arising from inspections.

- Can employees/representatives confirm that newly introduced control measures are followed up to see if they work?

- Workplace standards appear to be maintained.

4.1.2 (Initial)

The inspection program includes checks that monitor:

a) conformance to the organization's safe working procedures;

b) compliance with relevant health and safety legislation; and

c) the effectiveness of control measures.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

4.1.3 (Initial)

Inspections seek input and involvement from the personnel who are required to undertake the tasks being inspected.

Employees have valuable on-the-job experience and can provide useful information on the hazards associated with particular tasks. This information is easily obtained if those employees are involved in the inspection process or have the opportunity to provide information to the inspection team.

Examples (NB use as guidance only)

- A workplace inspection procedure which includes a requirement to consult with employees performing the work.
- Records of employee input during inspections, e.g. minutes of meetings, notes on inspection checklists.

- Can employees confirm that they are involved in the inspection process?

4.1.3 (Initial)

Inspections seek input and involvement from the personnel who are required to undertake the tasks being inspected.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

4.1.4 (Initial)

Engineering controls, including safety devices, are regularly inspected and tested to ensure their integrity.

Where engineering controls are used to reduce risk, they should be regularly checked to ensure that they continue to maintain the expected level of safety. For example, fixed guards and barriers may be damaged or missing a fixing screw or bolt, interlocked guards may be worn or disconnected, presence sensing systems may require adjustment, and emergency stop buttons, trip wires and duress alarms may malfunction, and automatic shutdown or pressure relief devices may fail to operate at critical levels. Ventilation systems may fail to provide the recommended level of performance.

Examples (NB use as guidance only)

- Maintenance contracts to inspect and test specific engineering controls.
- Procedure that includes a checklist and schedules for inspection of engineering controls.
- Completed checklists of plant guarding status.
- Records or log of tests undertaken on safety devices.
- Service records of presence sensing systems.

- Can employees/representatives confirm that there are regular checks of engineering controls, including safety devices, e.g. guards, exhaust systems, etc.?

- Well maintained machine guarding in place.
- Other engineering controls appear to be functioning.

4.1.4 (Initial)

Engineering controls, including safety devices, are regularly inspected and tested to ensure their integrity.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

4.1.5 (Initial)

Monitoring of the workplace environment (general and personal) is conducted where appropriate and records of the results are maintained.

The need for workplace monitoring of hazards such as noise, fumes, gases, vapours, dusts, radiation, cold, heat, etc. should be identified during the hazard identification and risk assessment process. Such monitoring may include personal dosimeters as well as static area monitors. The monitoring should be conducted by competent personnel and records maintained. Additional monitoring requirements may exist where contaminated air, insufficient oxygen, or flammable vapours may be present in a confined space.

Examples (NB use as guidance only)

- Risk assessments.
- Procedures for workplace environmental monitoring, including confined space entry.
- Records of workplace environmental monitoring.

- Can the organization explain the reasons for the monitoring and how acceptable exposure levels have been determined?
- Can the organization explain the reasons why particular types of monitoring equipment have been selected for use?
- Does the organization's procedure cover the frequency of monitoring and what happens when a deviation from the required level is detected?

- Static monitors in appropriate locations.
- Personal dosimeters being worn appropriately, e.g. radiation badges.

4.1.5 (Initial)

Monitoring of the workplace environment (general and personal) is conducted where appropriate and records of the results are maintained.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

4.1.6 (Initial)

Inspection, measuring and test equipment related to health and safety is appropriately identified, calibrated, maintained and stored.

Where specialised equipment is used for health and safety related inspection, measuring or testing, e.g. sound level meters, there needs to be a documented process to ensure that the equipment will function as designed and provide accurate and relevant readouts. The equipment needs to meet relevant standards and be calibrated and adjusted accordingly. Storage environments can also affect the integrity of the equipment and its calibration. If the equipment is supplied and used by external consultants, there should be confirmation that the equipment has been correctly calibrated and maintained.

Examples (NB use as guidance only)

- Documented procedures for the management of health and safety related inspection, measuring and test equipment.
- Records of calibration of equipment performed by competent persons in accordance with manufacturer's specifications.
- Records of scheduled maintenance in accordance with the manufacturer's specifications.
- Storage facilities designed to prevent damage and maintain equipment accuracy.

- Can employees/representatives confirm that measuring equipment is checked regularly?

- Calibration stickers on equipment.

4.1.6 (Initial)

Inspection, measuring and test equipment related to health and safety is appropriately identified, calibrated, maintained and stored.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

4.2 Monitoring and measurement – Health surveillance

4.2.1 (Initial)

Where specified by legislation, the health of employees exposed to specific hazards is monitored, recorded, reported and action is taken to address any adverse effects.

Legislation may prescribe health surveillance for employees exposed to specified hazards.

Health surveillance, which includes biological monitoring, can assist in evaluating the risk to health from hazardous substances and other hazards (e.g. noise) for which there are known and acceptable health surveillance procedures by:

- determining the dose of hazardous substances absorbed; and
- detecting the early signs of adverse health effects that may occur due to exposure.

Legislation may require the monitoring of employees who have been identified as having exposure to a 'scheduled' hazardous substance, i.e. listed in Schedule 3 of the *National Model Regulations for the Control of Workplace Hazardous Substances* [NOHSC:1005], and where the exposure to the hazardous substance is such that it is likely that an adverse effect on the employee's health may occur under the particular conditions of use.

It is important that biological monitoring is not used as an alternative to the implementation of control measures. However, monitoring needs to be considered in situations where:

- the risks to health are largely controlled through the lower order controls, e.g. PPE or administrative controls;
- symptoms have been reported which are likely to be related to the use of a workplace substance;
- incidents or near misses have occurred; or
- control measures have deteriorated significantly as a result of poor maintenance.

Results are used as a baseline against which any changes in employee health can be readily identified and appropriate action taken. Legal requirements may also apply to the maintenance and retention of the test results. Individual results must be treated as confidential medical records.

Examples (NB use as guidance only)

- Documented policy or procedure for health monitoring.
- Schedule for screening and testing.
- Records of health monitoring which match scheduled arrangements.
- Records that health monitoring is conducted by competent, and where applicable, approved persons.
- Records that include details such as name and position of employee, type of monitoring conducted, testing procedure, test provider, and requirements specified in the relevant legislation.
- Records that demonstrate that employees are informed of the need for the monitoring and of the results.

- Can employees confirm that results of medical tests are provided and explained to them?

4.2.1 (Initial)

Where specified by legislation, the health of employees exposed to specific hazards is monitored, recorded, reported and action is taken to address any adverse effects.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

4.2.2 (Advanced)

The organization has identified those situations where employee health surveillance should occur and has implemented systems to conduct this surveillance.

There may be situations where health surveillance should occur beyond any locally prescribed requirements, e.g. drug and alcohol testing, hepatitis, eyesight, fitness levels, lung function test, etc.

Examples (NB use as guidance only)

- Risk assessments which identify the need for health surveillance.
- Documented health surveillance program.
- Contracts with providers of health monitoring services.
- Records of health surveillance.

- How has the organization determined the requirements for health surveillance?

4.2.2 (Advanced)

The organization has identified those situations where employee health surveillance should occur and has implemented systems to conduct this surveillance.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

4.3 Incident investigation, corrective and preventive action

4.3.1 (Initial)

There is a procedure, which includes involvement of operational line management, for the investigation of hazards, injuries, illnesses, incidents and other systems failures impacting on health and safety.

Injuries, illnesses, and incidents, including those which are notified to authorities, should be investigated. This is to determine the contributing factors so that similar occurrences can be prevented. Incident investigations should focus on corrective actions, not the allocation of blame. The investigation should involve management representatives, such as supervisors, who have direct knowledge of the relevant work area and work processes.

Examples (NB use as guidance only)

- Investigation procedure.
- Fully completed investigation documents which show the involvement of line managers in the process.

- Can the organization explain who is involved in investigations?
- Can line managers confirm their involvement in investigations?

4.3.1 (Initial)

There is a procedure, which includes involvement of operational line management, for the investigation of hazards, injuries, illnesses, incidents and other systems failures impacting on health and safety.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

4.3.2 (Initial)
Investigations shall:

a) be undertaken by a competent person(s);
b) identify the factor(s) that led to the hazard, injury, illness, incident or other system failure;
c) review the identified hazards, assessed risks and effectiveness of the control measures; and
d) recommend appropriate control measures.

When an incident or more serious situation occurs, there needs to be a re-examination of the system which is implemented to manage the hazard, and whether it is suitable. To do this, the organization needs to review the situation from first principles, i.e. recheck that all the hazards were initially identified, and whether the risks were correctly assessed before the control measures were selected. Investigations too often seek someone to blame when things go wrong, instead of trying to find out what really caused or contributed to the unexpected outcome. The choice of risk controls, system of work, standard of training, supervision and reporting of previous incidents are some of the factors that might need to be considered.

The incident investigation reports should specify what remedial action is needed to prevent similar incidents occurring in the future. As some recommended actions may take time to implement (e.g. training), each recommendation should have an allocated time frame to allow those responsible to schedule their tasks. It would be expected that recommendations would, where possible, concentrate on systems and processes rather than on the deficiencies of individual workers.

Examples (NB use as guidance only)

- List of competent persons/positions who do investigations.
- Investigation procedures/documents that require examination of root causes.
- Investigation reports that focus on systems rather than personal failure, contain recommendations and refer to checks of existing control measures.
- Review of existing hazard identification and risk assessment documentation.
- Investigation procedures and/or the incident form include provision for recording recommended actions.
- Minutes of meetings that record reviews of control measures and discussions about recommendations arising from investigations.

- Can employees/representatives confirm that investigations try to find out why things have gone wrong rather than blame someone?

4.3.2 (Initial)

Investigations shall:

a) be undertaken by a competent person(s);

b) identify the factor(s) that led to the hazard, injury, illness, incident or other system failure;

c) review the identified hazards, assessed risks and effectiveness of the control measures; and

d) recommend appropriate control measures.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

4.3.3 (Initial)

Responsibility is assigned to identified personnel for implementing and reviewing the effectiveness of corrective actions arising from investigations.

The investigation process will only be effective if prompt corrective action is taken to rectify the identified deficiencies. This is more likely to occur if particular individuals are given the responsibility of making sure recommended action is taken. The control measures also need to be followed up to ensure that they achieve the desired result.

Examples (NB use as guidance only)

- Investigation procedures and/or the incident form include provision for assigning individuals to implement corrective actions.
- Records of corrective actions assigned to individuals.
- Records of implementation of corrective actions, e.g. minutes of meetings.
- Audits of effectiveness of control measures.

- Can employee representatives confirm that corrective actions are checked to see if they work?

4.3.3 (Initial)

Responsibility is assigned to identified personnel for implementing and reviewing the effectiveness of corrective actions arising from investigations.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

4.3.4 (Advanced)
Corrective actions are discussed with personnel affected prior to implementation.

To ensure corrective actions arising from an incident investigation are appropriate and realistic, it is important to get the input of personnel who will be directly affected by those actions. The people closest to the situation may raise issues which had not been considered by the parties recommending the corrective action.

Examples (NB use as guidance only)

- Investigation procedures which include a requirement that consultation take place with affected personnel prior to implementation of corrective action(s).
- Evidence that affected personnel are consulted prior to implementation of corrective actions, e.g. minutes of meetings.

- Are employees/representatives asked for their opinion on proposed changes after incidents have occurred in their work area?

4.3.4 (Advanced)
Corrective actions are discussed with personnel affected prior to implementation.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

4.4 Records and records management

4.4.1 (Initial)

There are effective systems for management of health and safety records including their:

a) identification and traceability;
b) collection, indexing, filing;
c) access and confidentiality;
d) retention and maintenance;
e) protection against damage, deterioration or loss;
f) retrieval; and
g) disposal.

An organization needs to identify what health and safety records it requires to be kept and to determine how they will be collected and stored. The safe and organized storage of records will ensure that they are readily available when required to those who are authorised to look at them. The disposal of the records will depend on the organization's needs and any specific legislative requirements for their retention, e.g. health surveillance and risk assessment documentation.

Examples (NB use as guidance only)

- Relevant documented procedure.
- Health and safety records that match procedural requirements.
- Automatic computer backup facilities for electronic records.

- What health and safety records does the organization keep?
- Where are the health and safety records for (e.g. audiometric testing) kept?

- Appropriate storage areas for records, e.g. access controls, fire, flood and temperature controls.
- Recycling services for confidential paper waste.
- Hard copy back ups of electronic records.
- Electronic backup data kept separately from original data.

4.4.1 (Initial)

There are effective systems for management of health and safety records including their:

a) identification and traceability;
b) collection, indexing, filing;
c) access and confidentiality;
d) retention and maintenance;
e) protection against damage, deterioration or loss;
f) retrieval; and
g) disposal.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

4.5 Health and safety management system audit

4.5.1 (Advanced)

Scheduled health and safety management system audits are carried out to verify whether activities:

a) comply with planned arrangements;
b) have been properly implemented and maintained; and
c) are contributing towards the effectiveness of the system.

An organization should have an internal mechanism to verify that all aspects of the health and safety system are effectively operating as planned. This verification could be achieved by a complete system audit or audits of parts of the system at more frequent intervals.

Examples (NB use as guidance only)

- A documented health and safety system audit procedure.
- Audit schedules.
- Audit reports.

- How often does the organization conduct audits of the health and safety management system?

4.5.1 (Advanced)

Scheduled health and safety management system audits are carried out to verify whether activities:

a) comply with planned arrangements;

b) have been properly implemented and maintained; and

c) are contributing towards the effectiveness of the system.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

4.5.2 (Advanced)

The audit program takes into consideration the significance of health and safety risks and the results of previous audits.

Audits should focus more regularly on those areas which carry the greatest risk exposure, the highest level of administrative controls and where problems have been identified in the past. The audit schedule should also take into account the complexity of the systems and the organizational structure.

Examples (NB use as guidance only)

- Audit schedules based on risk level and results of previous audits.
- Follow up audits for problem areas.

- How does the organization's audit program take into account health and safety risks?
- How often does the organization audit higher risk areas?

4.5.2 (Advanced)

The audit program takes into consideration the significance of health and safety risks and the results of previous audits.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

4.5.3 (Advanced)
The audit procedures cover:

a) scope;
b) frequency;
c) methodologies;
d) auditor selection and competencies;
e) responsibilities; and
f) reporting of results.

For consistency and reliability, audit procedures need to state what audit standard is to be used, where, when and how audits will be conducted and who will undertake them. For example, a review of the entire health and safety management system may be conducted every two years and in the ensuing period surveillance audits of higher risk areas may be conducted to verify that the systems in those areas continue to be implemented and are effective. It may be that the organization designs a particular format or checklist for auditors to follow.

Persons selected as health and safety systems auditors should have the relevant technical knowledge as well as training and understanding of auditing techniques. This includes technical competence in health and safety. A proficient auditor must be able to organize the work and adequately document all findings, as well as have good interpersonal skills.

Auditors should be able to carry out their work freely and objectively, a requirement that is difficult to achieve if they have been directly involved in the areas or systems under review. Therefore auditors may be selected from different departments or locations, or the organization may choose to use external auditors. There are advantages and disadvantages with using external providers. The quality of the independence, objectivity and fresh viewpoint gained from using an external auditor needs to be weighed against the opportunity to enhance internal skills and the use of the in-house knowledge.

The auditing procedures need to state who carries the responsibility for the various stages of the audit activity and the standard of reporting required.

Examples (NB use as guidance only)

- Documented audit procedures.
- Records of auditor training.
- An auditor selection process.
- Audit reports which demonstrate that appropriate auditors have been selected.

- What is the health and safety audit standard used by the organization and what audit procedures have been developed?
- How did the organization select the consultants to undertake the audit program?
- What training has the organization provided to internal auditors?
- Is the audit standard suitable for the activities of the organization being audited?

4.5.3 (Advanced)

The audit procedures cover:

a) scope;
b) frequency;
c) methodologies;
d) auditor selection and competencies;
e) responsibilities; and
f) reporting of results.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

1.

2.

Documents submitted (title, version, date, location)

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Observations and comments

4.5.4 (Advanced)

Audits incorporate workplace observations and input from a representative sample of employees to confirm the effectiveness of the system.

Audits are more than a paperwork exercise. To get a true picture of what is going on, it is vital that auditors look around the workplace being audited and talk to people working there. The paperwork provides the information on what should be happening but auditors need to see the physical reality in order to make decisions about effectiveness of the procedures. The audit procedures should require that the auditors confirm aspects with the people who work within the systems. To provide confidence, those discussions should involve a reasonable number of the relevant employees, including the employee health and safety representatives for the area. However, it is important to include safeguards that will allow for employees to speak freely. The audit process must test the performance of the system, not target individuals.

Examples (NB use as guidance only)

- Audit procedures that describe the requirements for employee verification and workplace observations.
- Audit records that demonstrate that decisions were based on a combination of written, physical and verbal evidence.

- Can employees/representatives, across a broad section of the organization, confirm that they provide input to the audits?

4.5.4 (Advanced)

Audits incorporate workplace observations and input from a representative sample of employees to confirm the effectiveness of the system.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

1.

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Documents submitted (title, version, date, location)

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Observations and comments

4.5.5 (Advanced)

Deficiencies highlighted by the audits are prioritized and progress monitored to ensure corrective action is implemented.

A follow-up or surveillance audit should be used to monitor the implementation of corrective actions resulting from the findings of an audit.

Examples (NB use as guidance only)

- Records or minutes which include a priority list for corrective actions.
- Surveillance audits which verify implementation of corrective actions.
- Records of corrective actions taken.

- Can the organization explain how health and safety deficiencies are prioritized and the implementation of corrective actions monitored?

4.5.5 (Advanced)

Deficiencies highlighted by the audits are prioritized and progress monitored to ensure corrective action is implemented.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

1.

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Documents submitted (title, version, date, location)

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Observations and comments

Element 5: Management Review

5.1.1 (Initial)

Top management oversee a comprehensive documented review of the health and safety management system at defined intervals to ensure its continuing suitability and effectiveness in satisfying the organization's stated health and safety objectives.

Top management have a responsibility to ensure that the systems in place within an organization continue to meet the needs of that organization. This can only be successful if the management system is reviewed on an ongoing basis like other aspects of the business. While top management may not conduct the review they should closely manage the process and be accountable for the results.

Examples (NB use as guidance only)

- Comprehensive health and safety management system review procedure.
- Schedule of reviews.
- Records of reviews.

- How does the organization ensure that top management oversees the review process?
- When is the health and safety management system scheduled for review?
- How does the organization determine the frequency for review of the health and safety management system?

5.1.1 (Initial)

Top management oversee a comprehensive documented review of the health and safety management system at defined intervals to ensure its continuing suitability and effectiveness in satisfying the organization's stated health and safety objectives.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

1.

2.

Documents submitted (title, version, date, location)

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Observations and comments

5.1.2 (Advanced)

Management reviews take into account health and safety management systems audit results, changing circumstances and a commitment to continual improvement.

The review must use what is known about the current health and safety performance of the organization to set future direction. Top management are also in a position to foresee or plan any other issues which may impact on the relevance and improvement of the health and safety management system, such as changing suppliers, opening new outlets, setting up new production lines, or decommissioning older areas. Any upcoming legal and industry requirements also need consideration. The organization's health and safety policy and objectives provide the framework for the system. It is the senior management's prerogative and responsibility to alter that policy and the associated objectives where necessary, to better match the health and safety needs of the organization.

Examples (NB use as guidance only)

- Minutes of health and safety management system review meetings which record the discussion of health and safety issues raised by audit results, business, industry or supplier/customer requirements, legal issues and the overall health and safety performance of the organization.
- Health and safety management system review reports which refer to above issues.

- What factors were considered in the last review of the health and safety management system?
- How can the organization demonstrate that any change of circumstances, affecting the organization, were taken into account in the review?

5.1.2 (Advanced)

Management reviews take into account health and safety management systems audit results, changing circumstances and a commitment to continual improvement.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

1.

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Documents submitted (title, version, date, location)

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Observations and comments

5.1.3 (Initial)
Recommendations arising from health and safety management systems reviews generate actions to improve performance.

Areas identified as deficient need to be actioned. The process of management review must ensure that recommendations are documented for corrective action.

Examples (NB use as guidance only)

- Reports of health and safety management system reviews which include recommendations for action.
- Health and safety plans which schedule activities/actions arising from recommendations
- Evidence of changes made as a result of management reviews, e.g. organization restructure, changes to assignment of responsibilities, changes to policy, reallocation of resources, etc.

- What actions have been planned or implemented, by the organization, as a result of the last management review of the health and safety management system?

5.1.3 (Initial)

Recommendations arising from health and safety management systems reviews generate actions to improve performance.

Rating

☐ Conformance ☐ Not able to be verified ☐ Nonconformance ☐ Not Applicable

NCR No. .....

Key contacts (names & titles/positions)

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Documents submitted (title, version, date, location)

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Observations and comments

SafetyMAP Certification Levels

	ELEMENT	Initial Level	Advanced Level (additional criteria)
1.	**Health and safety policy**	1.1.1	1.1.2, 1.1.3
2.	**Planning**		
2.1	*Legal requirements and practical guidance*	2.1.1, 2.1.2, 2.1.3, 2.1.4, 2.1.5	
2.2	*Objectives and targets*	2.2.1	2.2.2, 2.2.3
2.3	*Health and safety management plans*	2.3.1, 2.3.2, 2.3.3	2.3.4
3.	**Implementation**		
	Structure and responsibility		
3.1	*Resources*	3.1.1, 3.1.2, 3.1.3	
3.2	*Responsibility and accountability*	3.2.1, 3.2.3, 3.2.4	3.2.2, 3.2.5
3.3	*Training and competency*	3.3.2, 3.3.3, 3.3.5, 3.3.6, 3.3.9, 3.3.10	3.3.1, 3.3.4, 3.3.7, 3.3.8, 3.3.11, 3.3.12
	Consultation, communication and reporting		
3.4	*Consultation*	3.4.1, 3.4.2, 3.4.3, 3.4.4, 3.4.5, 3.4.6, 3.4.7	
3.5	*Communication*	3.5.1, 3.5.2	3.5.3, 3.5.4
3.6	*Reporting*	3.6.1, 3.6.2, 3.6.3	3.6.4, 3.6.5, 3.6.6, 3.6.7
3.7	Documentation	3.7.1	3.7.2
3.8	Document and data control	3.8.2, 3.8.3	3.8.1, 3.8.4, 3.8.5
	Hazard identification, risk assessment and control and risks		
3.9	*General*	3.9.1, 3.9.2, 3.9.3, 3.9.4	3.9.5, 3.9.6, 3.9.7
3.10	*Specific*	3.10.1, 3.10.2, 3.10.5, 3.10.7, 3.10.8, 3.10.10, 3.10.11, 3.10.12, 3.10.13, 3.10.14, 3.10.15, 3.10.16, 3.10.17, 3.10.18, 3.10.19, 3.10.21, 3.10.22, 3.10.23, 3.10.25, 3.10.26, 3.10.29	3.10.3, 3.10.4, 3.10.6, 3.10.9, 3.10.20, 3.10.24, 3.10.27, 3.10.28
3.11	Emergency preparedness and response	3.11.1, 3.11.2, 3.11.3, 3.11.4, 3.11.5, 3.11.6, 3.11.7	3.11.8
4	**Measurement and evaluation**		
	Monitoring and measurement		
4.1	*General*	4.1.1, 4.1.2, 4.1.3, 4.1.4, 4.1.5, 4.1.6	
4.2	*Health surveillance*	4.2.1	4.2.2
4.3	Incident investigation, corrective and preventive action	4.3.1, 4.3.2, 4.3.3	4.3.4
4.4	Records and records management	4.4.1	
4.5	Health and safety management system audit		4.5.1, 4.5.2, 4.5.3, 4.5.4, 4.5.5
5	**Management review**	5.1.1, 5.1.3	5.1.2
Total criteria in each certification level		**82**	**82 + 43 = 125**